

DOCUMENT RESUME

ED 140 977

PS 009 365

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 TITLE An Introduction To State Capacity Buildings:
 Planning, Management and Delivery of Child and Family
 Services.
 INSTITUTION Education Commission of the States, Denver, Colo.;
 National Association of State Directors of Child
 Development.
 REPORT NO ICS-R-98
 PUB DATE Dec 76
 NOTE 92p.
 AVAILABLE FROM Education Commission of the States, 300 Lincoln
 Tower, 1860 Lincoln Street, Denver, Colorado 80295
 (\$5, prepayment required)
 EDRS PRICE MF-\$0.83 HC-\$4.67 Plus Postage.
 DESCRIPTORS *Administrator Guides; *Child Welfare; Evaluation;
 Family Programs; Financial Support; Needs Assessment;
 Objectives; *Program Development; *Social Services;
 State Legislation; *State Programs; *Statewide
 Planning; Technical Assistance
 IDENTIFIERS *Capacity Building

ABSTRACT

This manual presents a set of guidelines for persons working at a state level to increase the capacity of the state to plan, manage and deliver child and family services. Part I discusses barriers to change, and outlines the skills and attributes of the capacity builder. Part II briefly describes the actual capacity building process, including sections on planning, public information and education, organizational structure, formulation of goals and objectives, needs assessment, service resource inventory, financial resource inventory and evaluation. Part III focuses on how the technical assistance consultant and the state capacity builder can work together effectively. Appendices include an outline of process involved in working with legislators to change existing laws or introduce new legislation; a description of management information systems, and a list of foundations with outstanding grants. (MS)

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AN INTRODUCTION TO STATE CAPACITY BUILDING

**Planning, Management and Delivery
of Child and Family Services**

National Association of State Directors of Child Development

and

**The Early Childhood Project
Education Commission of the States**

**Report No. 98
December 1976**

PS 009365

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**An Introduction To State Capacity Building:
Planning, Management and Delivery
of Child and Family Services**

A Publication of the
National Association of State Directors of Child Development
and

The Early Childhood Project
Education Commission of the States

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Report No. 98
December 1976

*Additional copies of this report may be obtained from the
Education Commission of the States, 300 Lincoln Tower
1860 Lincoln Street, Denver, Colorado 80295, (303) 893-5200.
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PS 009365

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FOREWORD

About a thousand years ago, in my youth, there was a series of publications entitled, "So You Want To Be A . . . (Vegetarian, Movie Star, Plumber, etc.)." This publication might be entitled, "So You Want To Be A Capacity Builder." As I remember the series, there was always a requirements section that stated how much and what kind of education one needed, what were the best type of summer jobs to get for background and what would be the employment future.

If you want to be a capacity builder, all you need is the desire and a great deal of drive and commitment. Literally, just about anyone can be a capacity builder—a governor, legislator, service agency administrator or employee and, certainly, Mr. John Q. Citizen. While this "capacity building manual" occasionally refers to a particular type of person in a particular organization, one should feel free to substitute him/herself. The process is basically the same while names and titles can be changed.

As you read this book, there are several things to keep in mind:

- A capacity builder cannot work in isolation; he/she must quickly develop a network of like-minded individuals who will be a part of the army for change. After you have read the section on barriers to change, it will be quite clear that one person working alone cannot do it. At times you will *feel* very alone, particularly at the beginning, but like-minded people are out there waiting to be offered a medium through which to work and be effective. Locating them and working with them is one of your first *required* challenges!
- The capacity building process has at least six different components: planning, public information/education, organizational structuring, setting of goals and objectives, information gathering and evaluation. Part of your role is that of a juggler because usually all of these components are occurring simultaneously. You can begin anywhere. There is no right place to start or any necessary first component. Simply start wherever you can, with whatever currently exists and with like-minded people.
- What do you do? That is what this book is all about. Keep in mind though, that examples given here are just that — examples of how others have been successful. Use the procedures and models as suggestions. Do not follow them wholesale or try to get a particular model or system to work in your state lock, stock and barrel. Each situation is slightly different; each has its own characteristics. Think of this book as a smorgasbord where you can begin wherever you see fit and pick only what you like, rather than a formal dinner where soup always comes before salad (and only one kind of soup at that).

- This book is a beginning. The language is practical and to the point, rather than theoretical. As John, Sherrie and the members of the National Association of State Directors of Child Development were putting it together, we all referred to it as the "combat manual." In a sense, the contents tells you what to be aware of, what to think about, what to worry about and what to anticipate. The actual doing rests with you.

- This book is geared for the totally uninitiated. The assumption was made that the reader would have little, if any, experience in the capacity building process. Certainly the more experienced person will find value herein, but as we have worked in the field, the greater need seemed to be for those just starting out.

- As you read, keep in mind that the process described can be applied not only to coordinating services for young children and their families, but to children and youth and, certainly, to particular target populations (i.e., handicapped children, school-age parents, low-income families, etc.). The authors' expertise is in the area of early childhood, but the principles and guidelines presented here can be applied to any planning/coordinating activity in the social services field.

If you still feel overwhelmed after reading this, take heart from Ogden Nash:

Experience! Wise men do not need it!
Experience! Idiots do not heed it!
I'd trade my lake of experience
For just one drop of common sense.

Good luck!

E. Robert LaCrosse
Director
Early Childhood Project
Education Commission of the States

PREFACE

The preparation of a set of guidelines to assist persons involved in increasing the capacity of a state to plan, manage and deliver child and family services in some respects could be compared to the task of developing an itinerary for Lewis and Clark on their famous expedition. Much of the ground has not yet been covered. Much of what has been done in capacity building is so recent that it does not have the credibility of time-tested methods. Thus, the task of preparing this document was approached with full knowledge that the outcome would at best reflect an "introduction" to capacity building.

We were not, however, completely at sea in terms of resources. The experiences of those currently involved in capacity building efforts were relied upon heavily for the contents of the manual. We are deeply indebted to the members of the National Association of State Directors of Child Development (NASDCD), the staff of the Early Childhood Project of the Education Commission of the States (ECS), staff members of those organizations who have received capacity building grants from the U.S. Office of Child Development (OCD) and staff members of the national and regional offices of OCD.

The research, writing and ideas of many others also involved in improving services for children and families were reviewed and, where possible, utilized.

We are indebted to all of these persons for the valuable ideas they contributed. The worth of the manual is readily conceded to flow directly from these rich sources. The shortcomings can be charged in part to the severe time constraints under which the manual was produced. Additionally, the task of assimilating, ordering and presenting the experiences of others is a difficult task at best.

We accept the responsibility of authorship for the shortcomings of the volume, and we are encouraged by the hope that later revisions can overcome any existing deficiencies. Hopefully, a future revision will result in a shorter and better manual accompanied by companion pieces that detail in depth certain aspects of the capacity building process.

With comments, suggestions and assistance from those who use this initial document, a more adequate manual will result.

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INTRODUCTORY COMMENTS

History and Background

Historically in America, responsibility for meeting the physical, emotional and intellectual needs of young children has been lodged with a number of public and private institutions. However, the family has always been the primary source of support for young children. In colonial America, the family received only minimal assistance in meeting children's needs from physicians, teachers, midwives and other experienced members of the community.

As America became an industrial nation with large urban population centers, higher education institutions and more highly organized governments, several things occurred changing the pattern of providing for the needs of children. As higher education institutions developed and expanded, specialists became available. The growth of governments, combined with the developing concept of governmental responsibility for meeting the needs of citizens, resulted in the assignment of increasingly specialized functions to individual agencies or branches of government.

Education provides an excellent example. Concurrent with the growing need for mass public education was a growth in the size and location of individual education systems. Education systems evolved from a small community level to larger local jurisdictions and later into statewide education systems. The commodity delivered through these systems, however, changed only slightly; it was still education and, with the exception of vocational training, was largely restricted to meeting only the intellectual needs of children.

Health services like education services, were delivered as isolated services. Agencies, at both local and state levels, were established to deal with a specific need and, for the most part, these agencies retained their narrow focus in terms of the services they sought to provide. There was no attempt to develop comprehensive programs to meet all the needs of the child. In fact, there was little attempt to coordinate the delivery of single-purpose services.

Under the U.S. Constitution, powers not specifically delegated to the federal government are reserved to the states. As state governments developed, they followed a pattern of providing specific services through narrow purpose agencies. During the last several decades the federal government has increasingly sought to bolster and equalize needed services but, for the most part, it too has delivered them through relatively narrow-purpose agencies.

The incremental growth in services and the systems through which

they are delivered has been a largely unplanned effort. Attempts to alter service delivery systems usually have resulted in the rearrangement of existing mechanisms rather than the restructuring or creation of new, broad-purpose structures. The result has been fragmentation in the delivery of services. As the institutions through which services are delivered became entrenched, they fell prey to tendencies that plague all established agencies—massiveness, rigidity and entrenched power.

These three elements defy all but the most persistent attempts at innovation, change or the restructuring of delivery systems. Size makes the task a formidable one; rigidity defeats all but the most persistent reformers, and entrenched power becomes the active enemy of attempted change. During the last decade, however, this country has witnessed a movement that is aimed at restructuring delivery systems for children's services at the state level.

Recent Capacity Building Efforts

In the early 1960s, serious efforts were initiated to design systems that would bring coherence to the confused picture of the delivery of children's services. In some instances, states acted on their own initiative, or with the support of groups such as the Appalachian Regional Commission, to develop coordinating mechanisms at the state level to remedy the confusion.

Human resource agencies, coordinating committees or councils, and offices of child development have been formed in some states, with varying degrees of executive or legislative support, to consolidate or coordinate a broad range of programs and services designed to meet the needs of young children and their families. In some instances these efforts have resulted in the creation of governmental agencies that differ significantly in structure from traditional narrow-purpose agencies.

The federal government has also worked with states to increase awareness of the need to coordinate children's services. The U.S. Office of Child Development (OCD) awarded a grant to the Education Commission of the States (ECS) in 1971 for an early childhood project. The ECS Early Childhood Project gives high priority to providing information, technical assistance and consultation to states as they improve their capacity to deliver comprehensive services to young children. Excellent publications have been developed by the project addressing such topics as needs assessment, policy development, alternative administrative structures and legislation.

The project was guided originally by the ECS Early Childhood Task Force whose membership included a number of persons who held positions of statewide responsibility for children's services in their

respective states. As a result of discussions centering around their common concerns, the decision was made to form a national organization of persons holding similar positions. The result was the formation of the National Association of State Directors of Child Development (NASDCD) in 1973.

One of the primary goals of NASDCD has been to encourage the state-level development of increased capacity to deliver services to young children. NASDCD initiated a series of meetings with OCD officials to encourage that office to place a greater emphasis on providing technical assistance and support to states in the area of capacity building.

Recently OCD awarded a series of grants to some 15 states to enable them to improve their capacity to deliver children's services. These "capacity building grants" have stimulated state efforts to place a greater emphasis on the planning and designing of improved service delivery systems for children. OCD is awarding similar grants to other states. These combined forces have resulted in a closer examination of the "capacity building" process.

A Definition of Capacity Building

During the past few years, the term "capacity building" has been popularized at the federal level as a term describing a wide variety of efforts. For the purposes of this manual, the term "capacity building" refers to efforts undertaken at the state level to increase its ability to deliver services to young children and families. The initiation of and support for such efforts may come from the federal level, from sources outside the state or from the initiative of state leadership.

Perhaps capacity building can best be thought of as a *process* by which a state moves from a less desirable to a more desirable system for delivering services to young children and their families. Such a process cannot be described in precise and static terms. Wide differences exist among states in human service delivery systems. Also, attitudes toward change, the ability to initiate and sustain a process of change, and the existing legislative and regulatory barriers to change differ from state to state.

However, as a state moves through the process of improving its capacity to deliver services, certain elements of that process can be identified, described and analyzed. These elements, taken together, constitute a dynamic process and, in reality, can be isolated in an artificial manner only since they interact and overlap with one another. However, for purposes of describing the capacity building process, each of the critical elements of the process will be discussed as a discrete and separable part.

Purpose and Organization of the Manual

Over the past few years, as more and more states began to examine and restructure their existing delivery systems, the need arose for guidelines to assist those involved in the process of change. Persons charged with responsibility for developing recommendations for improved service delivery systems found little written material specifically addressing the process of restructuring state delivery systems. A considerable volume of literature does exist that describes existing innovative systems or those in the developmental stage; but these documents do not address the processes that must be followed in planning such systems or methods for gaining acceptance from the diverse groups involved in their initiation.

The problem is magnified when capacity builders at the state level are charged with implementing innovative delivery systems. The planning and coordinating task is complicated immediately by the thorny task of working through the implementation phase. The capacity builder must deal with a number of obstacles when changing existing attitudes and accepted delivery systems. The almost insurmountable resistance to change on the part of institutionalized structures and the people who administer them is a legendary force that must be taken into account.

The lack of literature addressing these concerns poses problems for other groups as well. For example, organizations like OCD, ECS and NASDCD have increasingly provided assistance to states as they begin to restructure their delivery systems and to build their capacity to better manage the delivery of children's services. These organizations, as well as other technical assistance consultants, need guidelines on how to proceed.

This dual need prompted OCD to make available to the ECS Early Childhood Project funds to develop a capacity building manual. The NASDCD was selected as the most appropriate group to write the manual, with appropriate input from OCD, the ECS Early Childhood Project, states with capacity building grants and other groups and individuals.

Thus, this document is designed primarily to serve as a guide for persons involved in state-level attempts to improve mechanisms through which financial and human resources are translated into services for young children and their families.

The manual has been divided into three parts. Following the Introduction, Part I presents suggestions for those involved in day-to-day efforts to effect change (the "capacity builders"). These suggestions represent the wisdom of those currently involved in developing new structures for planning, managing and delivering children's services. Part II describes the components of the capacity building process. Again, it should be emphasized that there is danger in break-

ing up a dynamic process like capacity building into discrete parts since there is always a possibility that the interrelatedness of the components will not be accurately portrayed. However, an effort has been made to emphasize this interrelatedness. Part III provides suggestions to those who find themselves called upon to aid states in capacity building. In many instances the technical assistance consultant is from outside the system, or even from outside the state. Part III is designed to assist this special audience of capacity builders.

PART I

THE CAPACITY BUILDER

INTRODUCTION

The term "capacity building" has been defined as the process by which a state moves from a less desirable system for delivery of services to young children and their families to a more desirable system for accomplishing that end. The "capacity builder" can be thought of as a moving force behind that process.

The capacity builder may be a single person, a member of a team or one of several persons with similar goals but relatively little knowledge of the efforts by others involved in capacity building. In terms of a power base, the efforts of the capacity builder may be supported by legislative or executive mandate, a stated policy of an agency or a group—or simply by a strong personal desire to improve the system currently in place.

Whether the capacity builder operates from a strong or a weak power base, certain roles must be performed to insure effective action and satisfactory results. Since the success of any capacity building effort is dependent on the proper execution of these roles, a brief discussion of them is in order. However, before consideration of them, it is important to realize that a number of barriers to the capacity building process do exist.

Those involved in facilitating change devote a great deal of attention to devising ways of overcoming obstacles to change; attention that ranges from "hand-wringing" discussion to intense debate about how to surmount a particular problem. Barriers do exist that present the capacity builder with a real challenge. The major barriers are reluctance, delaying actions and outright resistance. On the assumption that to be forewarned is to be forearmed, some causes of these and other barriers are described in the next chapter.

BARRIERS TO CHANGE

Inertia

In the physical realm it has long been recognized that inertia is a factor to be overcome before movement can be initiated. Inertia also affects the world of ideas. Agencies and organizations, to say nothing of some of the minds that guide them, tend to remain at rest or, at best, to move along a set trajectory unless force is applied. This phenomenon is evidenced by the fact that children and families sometimes remain unserved despite the availability of resources and the substantial growth in public and private agencies designed to serve them.

Defense of the Status Quo

In his book, *The Recovery of Confidence*, John Gardner makes the point that "all institutions, religious or commercial, political or educational, are extremely skillful in protecting themselves from the prodding of dissent."¹ Dissent is the forerunner of change. In the absence of dissent and criticism, institutions are managed for the benefit of the people who run them. The self-protection to which Gardner refers is manifested in protection of the status quo.

Regardless of the tact or diplomacy used, the capacity builder, by proposing change, becomes a threat to those who would protect, prolong or perpetuate the status quo. Simply stated, a tendency on the part of some to defend and justify the existing system poses a barrier to change.

Turf Protection

Jurisdictional disputes and interagency rivalry also act as barriers to changing delivery systems. Commonly called "turf guarding," this malady has proven to be a source of real trouble to those attempting to restructure the mechanisms through which children's services are delivered.

No doubt some of the protectiveness exhibited by administrators and others toward their agencies when closer coordination between agencies is suggested is unfounded and unreasonable. However, there are limits to what an agency can surrender and still meet its statutory mandates. The task of the capacity builder is to distinguish

¹Gardner, John W., *The Recovery of Confidence* (New York: W. W. Norton and Co., Inc., 1970) page 38.

carefully between that which an agency can and cannot do in terms of working with other agencies and in terms of sharing or transferring responsibility.

Generally, the "turf-guarding" syndrome appears to increase in severity in direct relationship to one's place in the administrative hierarchy. As one moves up the organizational hierarchy, the concern over jurisdiction tends to increase. The direct service provider, when faced with children and families with overwhelming needs, has few qualms about who should provide what service.

In-Fighting

Jurisdictional problems also occur within agencies and sometimes pose a serious problem to the capacity builder. These are especially troublesome to the outsider. Some of these battles are endowed with decades of longevity. Again, to be forewarned is to be forearmed. Often compromise is the only solution, but it may be difficult to bring about in the face of intense self-interest.

Radical Views

Any enterprise involving a broad spectrum of people and institutions must be prepared to deal with radical viewpoints. Capacity building involves people representing a broad range of viewpoints. Liberals and conservatives, right wing and left leaning, and those who would do all things now and those who postpone indefinitely, will all want to be heard. And they must be heard. The solution, and it is difficult to manage, is an effective system of communication that encourages more than a flow of messages. The system must facilitate (1) an open and constructive dialogue permitting each person to understand the other's viewpoint and (2) an effective mechanism for conflict resolution. The alternative is further polarization of views.

No attempt has been made to provide solutions to the problems raised in this section. Given the diverse situations in which capacity builders will find themselves, it is doubtful that such an attempt would fit any given situation. The description of the capacity building components presented in Part II is designed to help the capacity builder overcome some of these barriers; so are the comments in the next chapter that describe the roles, functions and characteristics of the capacity builder.

THE CAPACITY BUILDER: SKILLS AND ATTRIBUTES

Knowledge of the Existing System

Before attempting to initiate any process of change, it is essential that capacity builders have a thorough knowledge of the existing system and the basis on which it was developed. Until the capacity builder has that knowledge and understanding, he/she cannot make decisions about how to proceed in bringing about desirable change.

Delivery systems are usually supported by statute, regulation, accepted practice or some combination of these. Consequently, different approaches may be necessary to change the existing structure.

New legislation may be needed before desired changes can be implemented. Legislation takes time and requires considerable efforts. A description of the steps that need to be taken in working within the legislative process and suggestions for dealing with legislators are presented in Appendix A.

On the other hand, changing departmental regulations requires a different approach—that is, changes can be effected by convincing administrators that a better method is available. Modifying systems that are supported only by "accepted methods" of doing business may not require new legislation or regulatory changes, but it is dangerous to assume that these changes are easily brought about. Accepted methods become dear to the hearts of users, are sanctioned by tradition and are usually difficult to alter.

Planner and Facilitator

Institutions are usually self-perpetuating; they seldom are designed to be self-improving. Improving a state's capacity to manage children's services requires careful planning.

It is easy to locate persons interested in improving service delivery systems, but quite another to find someone with a plan specifying how it should be done. The capacity builder must be an effective planner. Countless efforts designed to improve existing delivery systems have been initiated and supported with enthusiasm and hard work. However, unless supported by a workable plan, they usually fail.

The effective development and implementation of a plan of action does not happen automatically or in isolation. The process must be guided carefully through known trouble spots and potential dangers. As a facilitator, the capacity builder must anticipate agency hurdles, overcome legislative roadblocks and keep others informed. The role

of the capacity builder as facilitator might well be compared with that of an orchestra leader. The task is to blend various elements into a melodious whole rather than allowing independent and discordant activity.

If there is a key quality that the capacity builder should possess, it is flexibility. The nature of the task demands it. The capacity builder must deal with numerous groups, each with its own agenda. Statutory and regulatory restrictions must sometimes be altered or removed. Individual attitudes and needs must be accommodated and compromises must be made. The capacity builder must be able to maneuver through time-honored methods of operation. Flexibility is indeed demanded.

Information Provider

The idealism of the 1960s, characterized by the rhetoric of "plenty," has been replaced by the notion of "scarcity." "Limited resources," "cost-effectiveness" and "accountability" are popular terms today. While we may declare that we are capable of meeting the needs of all citizens, those in positions of authority demand more than declarations of ability—they demand facts and figures. The capacity builder must be in a position to provide such information.

Data gathering is not a simple operation. While information on children's needs and services may have been compiled by a number of agencies or groups, it often is gathered to satisfy the specific needs of those agencies and is not easily integrated with information compiled by other agencies. Confidentiality restrictions and disparity in reporting forms further complicate efforts to develop an integrated and complete data base. Efforts directed at developing a comprehensive information base are best left to a later stage in the capacity building process.

At the same time, basic information to support a capacity building effort is essential. Initially, an effort should be made to develop supportive information in at least the following areas:

Numbers

- Children in each age range.
- Children with special needs.
- Children being served; children needing services.
- Trained professional and paraprofessional providers; persons needed.
- Facilities available and those needed.

Locations

- Children and families.
- Provider agencies and their field units.
- Personnel.

Costs

- Cost of services currently provided.
- Estimate of cost of needed services.

Obviously, in the absence of a sophisticated data gathering or information system, comprehensive and accurate data will not be available. However, available data can be used to generate realistic estimates.

Communicator

One of the most effective tools used to build support for changing existing delivery systems is a good system for communicating with those involved in the capacity building process. An adequate communication system has the following qualities:

- **Timeliness.** Hearing about ideas after they have been acted upon is little better than not hearing about them at all.
- **Accuracy.** Extreme care should be taken to insure that ideas and information are communicated accurately.
- **Openness.** Communication is a two-way process. There should be an opportunity for ideas to surface from any sector; views not heard may surface later as opposition positions.
- **Clarity.** Institutional jargon serves as an obstacle to those who do not live and work in professional circles. The use of highly technical or specialized terms is unnecessary and even harmful in communicating with legislators, advocacy groups and others.
- **Preivity.** Administrators, legislators, executives and most professional people are overwhelmed with information and written materials. Much of this material is never read, and the preparation of such material robs the capacity builder of valuable time.

Motivator

The capacity builder must involve others in the process. If the method by which services are delivered to young children and their families is to be changed in any significant way, it must be based on the commitment of many different people within the system—policy makers and legislators, administrators and program directors, and direct-service providers and consumers.

Changes at the policy-making level will result in very few service improvements if they are not accompanied by changes at the service delivery level. For example, the establishment of a coordinating office at the state level may result in paper activity at the top and business-as-usual at the bottom. The reallocation of funds from one

agency to another does not guarantee coordination at the service delivery level.

In the final analysis, it is important to remember that governments and the structures through which they function are composed of people. When we set about to change government we are, in effect, changing the behavior of people—not inanimate structures. It is not enough to be knowledgeable, to have a well-developed plan of action or to communicate effectively—the success of the capacity building effort depends on the commitment and involvement of people. The capacity builder must serve as a catalyst for that commitment and involvement.

PART II

COMPONENTS OF THE CAPACITY BUILDING PROCESS

INTRODUCTION

This section contains the substantive material describing the actual capacity building process. The discrete components of this process include: planning; public information/education; organizational structures; formulation of goals and objectives; needs assessment; service resource inventories; financial resource inventories; and evaluation. As mentioned in the introductory remarks, breaking a dynamic process like capacity building into discrete parts is very apt to be misleading, and an effort has been made to emphasize the interrelatedness of the parts.

THE PLANNING PROCESS

The reader at this time will be asked to make a transition from someone who is a questioning and critical observer of the existing system to someone who has a formal mandate to improve the system. Although that mental transition is a difficult one to make, it is an essential one if the capacity builder is to actually effect his or her plans for improving existing practices and procedures. Rather than speculating on the ills of that which exists, the successful capacity builder must at some point arm him/herself with the knowledge that is available and develop a sound plan for change.

It is that plan that is the subject of this chapter. The actual implementation of the plan—the “how-to” of the individual components—will be dealt with in detail in later chapters. Initially, however, the capacity builder should have a clear view of what, sooner or later, will need to be done either by him/herself or by others with sufficient authority or sanction from state government to accomplish the same ends. Thus, much of this chapter is written as if the capacity builder has the authority to create change or is working cooperatively with those who do.

The following discussion of the planning process is preceded by a short commentary on coordination. Although coordination of the components of the existing delivery system is essential to any further improvement of the system, “coordination” is a term, and a concept, that is rarely discussed. Because of its central importance to the capacity building process, and the immediate necessity of dealing with it during the initial phase of the planning process, “coordination” is discussed separately.

Coordination

There is increasing emphasis from the federal level on the need to *coordinate* the management of children's services at the state level. This also is a recurring theme for most of the activities undertaken by the National Association of State Directors of Child Development.

Still the question arises among state and local capacity builders, “What *is* coordination?” The term coordination has been defined as (1) planning together, (2) cooperation with another, (3) a central authority exercising control over others to get concerted action and (4) just another layer of government. Probably the best way to understand the term is to review some examples of what coordination *is* and what *it is not*. Unfortunately, there seems to be more illustrations of the latter.

Some of the more common examples of what it is not include:

- We all have heard of or seen situations where two programs coexist on the same street in the same town, serving the same clientele, yet are totally unaware of each other.
- Studies of child care services have shown that case workers from as many as seven different agencies were visiting the same family on a given day.
- We have all seen federal and state legislation that mandates several different agencies to coordinate activities with one another in the same program area.
- And we have all experienced first hand the proliferation of "coordinator" positions in government at all levels—and the proliferation of councils, committees and other "coordinative mechanisms."

There are also, however, some notable examples of coordination efforts that have been successful:

- The 4-C² concept, that has been developed in many states and localities, illustrates some of the very best in coordinating efforts.
- A number of states have established interagency structures that do, in fact, coordinate the planning and delivery of different kinds of children's services.

To summarize, coordination is still a vague and imprecise term. In its broadest sense, coordination means a particular kind of inter-organizational relationship that occurs for some purpose and, ideally, pervades all elements of the capacity building process. Coordination occurs primarily as a rational response by an agency to a need for additional resources to achieve certain goals. It is an essential ingredient in any comprehensive planning process.³

Planning a Coordinated Program

Several tasks are usually performed in planning and implementing a coordinated service delivery system for children. Because there is no set pattern for the sequence in which these tasks should be performed, three phases are suggested: (1) the initial phase or start-up period; (2) the intermediate phase, when planning decisions are made; and (3) the implementation phase, when a coordinated services

²The term "4-C" refers to federally funded "Community Coordinated Child Care" projects.

³Special credit is given to Bruce Esterline, with the Department of Community Affairs, Office of the Governor in Texas, whose work has served as the basis for material presented in this section.

program becomes operational while planning and evaluation activities occur concurrently.

The Initial Phase

A. Forming an Advisory Council. The members of the advisory council may perform any or all of the following roles in the planning process:

1. They may serve as advisers to the planning group or organization.
2. Members may assist in the collection and dissemination of information about the needs and concerns of children and the services being provided to them.
3. They may also assist in the dissemination of information about council meetings and activities.
4. They may serve as facilitators between those responsible for coordinated planning and their relevant constituencies.
5. They may serve as representatives of and advocates for children and families residing in the state.

These kinds of roles place an advisory council in the center of most planning activities. In some cases the activity of a council may be no more than a review of actions already taken, but, normally, an advisory council will review actions proposed by the planning group and advise on actions to be taken in the future.

B. Joint Planning. Joint planning is the inclusion of representatives of major constituencies within the state that have an interest in assisting children through the development of a comprehensive plan to meet their needs. While existing planning agencies and service providers are key components of joint planning, representatives from other major groups should also be included—for example, parents, interested citizens, public officials, children's advocates and community leaders. Joint planning can and should be carried out with the guidance of the advisory council.

To avoid a haphazard approach to joint planning, a special task force (or several task forces, depending on planning needs) may be established. Because many of the members of a joint planning task force will also be participating in the implementation of a coordinated services program, plans generated by them are likely to be accepted. After all, the purpose of joint planning is to develop a plan for a coordinated service delivery system that provides the best possible service program for children and families by motivating the community to work together.

C. Information Gathering. Before specific services can be planned or analyzed, there must be some indication of the types, and extent of needs and problems occurring among children and their families. Collection of information and data on the actual needs of children in the community or state provides a base for later decisions.

There are three basic types of information that capacity builders need to gather and use, if they are to succeed in their efforts to improve the existing system:

1. **Needs assessment data.** Precise information on the basic unmet needs of young children, the locations of needy children and cost estimates for programs and services designed to meet unmet needs.
2. **Service resource inventory.** A description of services and programs currently being provided for children and their families by both public and private agencies.
3. **Financial resource inventory.** A listing of potential public and private funding sources for needed children's services (as identified in the needs assessment effort).

A detailed description of how to conduct needs assessments and service and financial resource inventories is included in later sections of this manual. They are mentioned at this point to remind the reader that reliable and relevant material must be gathered at an early stage of the capacity building process if that process is to produce a comprehensive plan for meeting the needs of children and families.

The Intermediate Phase

A. Identifying Service Gaps or Unmet Needs. Service gaps or unmet needs can be identified by comparing the needs assessment data with the information from the service resource inventory. For example, the needs assessment survey may have indicated that 40 percent of children in the state need dental care, but the service resource inventory may show that services are being provided to only one-half of those who need that service.

This type of analysis should be conducted in all existing and potential service areas. Analysis using both needs assessment data and the service resource inventory information may reveal that services to meet some needs are not available. Or, it may show that children in a single geographic area account for most of the children who are not receiving the needed service. The analysis of both sets of data may reveal that additional resources are needed to help existing service providers expand their operation. The

data may also indicate that existing eligibility requirements exclude many needy children from a given service. All of these findings would then become an integral part of the planning process.

- B. Determining Priorities.** Because the amount of available resources usually is not sufficient to provide services to meet all of the needs of the children in the state, some method must be devised for determining which needs and problems should be given high priority.

Certainly it is in the establishment of priorities that the broadest possible involvement of citizens and public and private officials is needed. In itself, no amount of documentation of need will influence policy unless it is recognized as legitimate. The greater the involvement of people in the determination of priorities, the greater will be the legitimacy of the comprehensive plan designed to meet the needs of children—and the greater will be the support of elected officials and others for the implementation of that plan.

- C. Formulating Goals and Measurable Objectives.** At some early point in the development of a coordinated plan, goals and measurable objectives must be formulated to guide the planning and operation of the service delivery system.

Goals are statements about the desired future state of affairs for children in the state and for the program of coordinated services. Objectives specify the means of attaining the goals or indicate a completed stage or phase of a goal. Measurable objectives are objectives that are specific and quantitative. Although a detailed account of the development of goals and objectives is provided elsewhere in the manual, they are highlighted here as essential components of the overall planning process.

While the staff of the designated planning group or agency will be instrumental in formulating measurable objectives that support broad goals, final endorsement of the objectives should be made by the advisory council and perhaps by other agencies, organizations and individuals within the state. The broad-based goals and objectives for child and family services need the support and endorsement of the governor, the legislature and citizens, as well as the many agencies and organizations that will be involved in providing services. While many groups and interests will be represented on the advisory council, it is important to communicate closely with all who are, or will be, concerned with the implementation of the service plan and to obtain their endorsement to the greatest extent possible as the plan is developed.

- D. Analyzing the Existing Service System.** One of the major

planning tasks is a thorough analysis of the existing service system to determine whether available resources can be reallocated to provide additional needed services. The basis for such decisions will be the priority level assigned to existing and additional services, and the regulations, goals and objectives governing the program.

The analysis may consist of the following elements:

1. Identified needs and problems of children.
2. Social, economic and political constraints affecting the needs and problems.
3. Objectives of the services provided.
4. Examination of the characteristics of services and service delivery, including availability, effectiveness and efficiency.
5. Examination of the existing coordination practices among service agencies and service delivery procedures.
6. Formulation of alternative solutions designed, if necessary, to allow the reallocation of resources to better achieve the objectives and goals of the comprehensive plan.

The purpose of this analysis is to provide an opportunity for a "midcourse" correction to achieve a more efficient use of existing resources. The decisions should be largely based on information collected during each step in the planning process.

The Implementation Phase

- A. Allocation of Resources.** The tasks performed during the initial and intermediate phases of the planning and operations sequence should lead progressively to the allocation of resources and to decisions about whether services are to be delivered directly or purchased from providers. These tasks should also be instrumental in developing recommendations about the allocation of funds from a variety of sources to support the developing coordinated service plan. These allocation decisions should be based upon information collected and decisions made during the initial and intermediate phases.
- B. Program Linkages.** Coordination of the delivery of services will largely depend upon the mechanisms adopted for bringing about program linkages. If the goals and objectives of a coordinated service system are to be achieved, program linkages must be developed until they become standard operating procedures for all participants in the system. There are several activities and tasks

that can facilitate coordination—for example, joint planning and evaluation, advisory councils, information and referral, and technical assistance.

Although there are numerous methods and techniques for obtaining and enhancing coordination, it must be remembered that the coordination of the many different elements of the children's services program is necessary before the *program* can evolve into a *system*.

- C. Monitoring.** When a contract is being developed that results in the provision of public funds to a service provider, the monitoring procedures for assessing the performance of the provider should be clearly stated in the contract.

In addition to assessing the actual performance of service providers and the services and programs provided by state agencies, monitoring data is essential to the planning process. Decisions about the quality of a service or activity must be partially based on quantitative measures. The monitoring system—based on a series of reports filed by service providers and program staff—provides continuous feedback on the performance of the delivery system. This information can be summarized at any point and given to an evaluation committee or outside evaluator for analysis.

- D. Client Effects.** The effect or outcome on a child of a service or program of services can be measured by a client effects survey. This type of study seeks to determine the extent of, and reasons for, changes in the behavior and needs of children who have received services. The actual effect is compared with the desired effect to evaluate the success or failure of a service or a program of services. These data—along with service provider records, cost reports, etc.—are used in the evaluation process to assess whether or not objectives have been achieved.

When client effects surveys are not feasible, some procedure for collecting impact data can be developed. For example, children may be tested periodically, or a sample of parents may be contacted by telephone to determine their satisfaction with a service or services their children have received. In a sense, these efforts can be thought of as a means of updating the initial needs assessment since the needs of children are again being reviewed. That review now includes, however, the impact of the priorities, the goals and objectives, and the planning and coordination that have gone into developing a comprehensive coordinated service delivery system for children and families.

- E. Evaluation.** Though evaluation occurs as the next-to-last task in the implementation phase, the activities to be evaluated should have been identified during the initial or intermediate phases.

Without such prior planning, there will be no information base available for the evaluation of service provider performance, staff activities or the implementation of the plan. After an evaluation has been completed by an evaluation team or outside person, much of the planning process may be repeated in order to design better service delivery, more suitable allocation of resources, better coordination of service agencies, etc.

The evaluation process uses data collected by the monitoring system, client effect survey and other information in order to compare actual performance with original objectives and goals. If a service or activity is not achieving the desired outcome, suggestions should be made for improvements. If the outcome is satisfactory, alternative recommendations should be made for continuation of the service or activity. A high priority placed on planning and coordinating leads to constant evaluation and adjustment of the service delivery system.

F. Development of Additional Resources. Unfortunately, any coordinated children's program is likely to operate with limited funds. Additional resources must be identified to support the full implementation of the service plan.

Actually, there is no single point in the planning and operations sequence where the development of additional resources should be listed. It is an ongoing activity. This task has been placed at the end of the implementation stage because all of the information for justifying additional resources will have been collected at this time.

At this point it will be possible to tell a potential funding source exactly what is needed and how the potential resources may be used to improve the comprehensive service program.

This chapter has traced, in an abbreviated way, the planning elements of the capacity building process and placed them into at least one possible logical sequence. The following chapters, with one exception, provide greater detail on the major components of the capacity building process. The one exception, public information/education, is one of the most pervasive concerns of all successful capacity builders and is dealt with immediately in the next chapters.

PUBLIC INFORMATION/EDUCATION

One could hardly be alive in America today and not realize that virtually every enterprise finds it necessary to create a public awareness of its products. Consider the typical day of the average citizen. He/she is awakened by a hardsell radio commercial pushing the toothpaste with "sex appeal"; showers with the soap that "gives all day protection"; washes his/her hair with "anti-dandruff" shampoo; guards against offending his/her colleagues with a new deodorant that "won't destroy the ozone"; dresses in a fashion to fit the image that has been created by the media; and sits down to a breakfast that "snaps, crackles and pops" or at least has a "full daily requirement of minerals and vitamins." Within the first half hour of the day he/she has used a number of products simply because he/she has been made aware of their existence. And the day is just beginning. He/she is not alone on the trip to the factory or the office but is being "made aware" by means of the morning paper, car radio, billboards and flashing signs every step of the way. Even when resorting to a remedy to ease the pain, the remedy is there because of the awareness that it "gets into the blood stream faster."

The significant fact behind all this is that it works! And the capacity builder must put these same media to work. In fact, the difficulty of creating awareness of the need for an improved delivery system for human services is magnified by the fact that the audience to be captured is not a single or narrow one. Colleagues, executives, administrators, supervisors, taxpayers, legislators, consumers and the general public must be convinced that services to children should be improved, delivery mechanisms restructured, and resources allocated and reallocated.

The nature of the "products" to be promoted complicates the task of creating awareness and obtaining commitment. Initially, at least, these "products" are ideas, not objects. We can appeal to all senses in selling products. They can be displayed in attractive packages and made to appeal to the sense of touch, taste, hearing, sight or smell. But ideas must be sold at the intellectual or emotional level; certainly, this makes the task more difficult.

There is, of course, no one best way to create awareness of children's needs nor to obtain strong commitment from constituent groups. However, the general principles and practical approaches reviewed below have been used with great success by capacity builders in the past.

Principles Guiding an Awareness Campaign

Timing is critical to building awareness of the need for improved

services to children and improved systems for managing those services. While it can be argued that the need for services is a continuous one, it is also true that events occur that provide an exceptional opportunity for initiating an awareness campaign. A blatant case of child abuse and neglect or the publication of a study that reflects the need for additional day care, health services or child care facilities can serve as the beginning point in such a campaign. Timing is essential if the capacity builder is to take advantage of a national movement; plug into an emerging idea, technique or innovative method; or build on a highly visible demonstration program.

It is also important to remember that facts and figures, although quite appropriate when appealing to certain audiences, may have little persuasive effect on others. Researchers, legislators, administrators, taxpayers and consumers all play a part in determining priorities and the need for services. For this reason, a multilevel information campaign should be developed to create awareness and obtain commitment. Legislators are concerned with cost, administrators need data for decision making, practitioners want to know about better techniques for serving children, and parents and taxpayers need to be reached on an emotional level. Reams of data will not necessarily appeal to the parent audience; reliance on "sob stories" may backfire with administrators.

A word about style. Awareness efforts based on a "we-they" or "opponent" approach may result in some immediate increase in services. However, the adversary approach usually will not result in a long-term commitment to change as the ill will and animosity engendered by such an approach can undo the accomplishments of the moment. This is not to say that positions should not be taken on issues that will be opposed, but, generally, it is more appropriate to initiate an awareness campaign by taking a positive approach or a "proponent" posture.

Methods of Creating Awareness and Obtaining Commitment

In the interest of brevity and convenience, a number of methods for creating awareness are presented in chart form. Some methods appear to work well with a particular audience but tend to be ineffective with another group. When the audience is diverse in terms of its concerns, needs, occupations and functions, a combination of approaches is demanded. Each audience can be subdivided into smaller groups along particular lines of interest or concern. The same holds true for the methods described herein.

Public meetings and media approaches have been used with variations to provide information, capture attention and enlist support. The chart on the following page lists a number of methods that might be used. The checks in the boxes indicate those methods that seem to

PUBLIC MEETINGS AND MEDIA APPROACHES

Method

AUDIENCE	Public Meetings					Media						Personal Contact			
	Lecture	Seminar	Forum	Workshop	Speak-Out	Television	Radio	Newspaper	Professional Publications	Pamphlets & Brochures	Films & Slides	Posters	Telephone	Letters	Individual Contact
Legislators		✓			✓		✓	✓	✓				✓	✓	✓
Agency Heads		✓	✓		✓		✓	✓					✓	✓	✓
Executive Branch Employees		✓			✓	✓		✓	✓				✓	✓	✓
Program Directors	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓		✓	✓	✓
Professional Organizations	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓			✓	
Local Government Officials		✓	✓		✓	✓	✓	✓		✓	✓		✓	✓	✓
Academic Community	✓	✓	✓		✓	✓	✓	✓	✓					✓	
Civic Organizations and Groups	✓	✓	✓		✓	✓	✓	✓		✓	✓			✓	
Service Deliverers			✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			
Parents				✓	✓	✓	✓	✓		✓	✓	✓			
Children					✓	✓	✓				✓	✓			
General Public			✓	✓	✓	✓	✓	✓		✓	✓	✓			

have worked best with different audiences. Adaptations will need to be made to accommodate specific groups, methods and variations in local settings. In making adaptations the following factors should be considered:

- **Size of the group**—A lecture or panel presentation is often the only way to communicate information to large groups, but these methods do not facilitate feedback from participants. The informal seminar, on the other hand, is an ideal method to use with smaller groups where feedback or conflict resolution is needed.
- **Level of understanding or expertise**—Careful consideration should be given to the functional level of the audience. Professional-level personnel can deal adequately with technical material. Consumers and the general public seldom respond to highly specialized materials and presentations and may be somewhat intimidated by them.
- **Special concerns or needs of the audience**—Every attempt should be made in preparing materials and presentations to provide information that addresses the needs of special interest groups, individuals and decision makers.

ORGANIZATIONAL STRUCTURE

It has already been pointed out that capacity builders need to involve many individuals in the establishment of a broad-based advisory council to guide the planning/implementation process. The actual organizational framework in which capacity building efforts may be housed is also important.

If states are to improve their capacity to manage services for young children, careful consideration must be given to the organizational structure that is used and the eventual location of the planning/ coordinating staff at the state level. Obviously, the placement of the overall responsibility for the planning and coordination of early childhood programs in one or another agency will influence the nature and ultimate success of that effort. The alternative structures outlined below should be considered in terms of suggested planning/ coordinating implications as well as their feasibility within the framework of the state's current operations.

Functions of a State Planning and Coordinating Agency

Any agency assigned or created to assume general responsibility for the planning and coordinating of state early childhood programs should have at least the following responsibilities:

- To develop a master plan for early childhood programs, staff and funding across the state.
- To monitor and coordinate all state and federal funds for early childhood programs.
- To analyze, make recommendations about and coordinate all state and federally funded programs for the development of early childhood personnel, and to stimulate the development of postsecondary and inservice training programs for early childhood personnel.
- To analyze and develop recommendations for state certification efforts related to early childhood personnel.
- To develop a system for early diagnosis and treatment of children's needs.
- To develop a mechanism for parental involvement in the delivery of programs and services to their children and a system for parental training/education.
- To make recommendations regarding state standards for private, particularly franchised, early childhood programs.
- To serve as an advocate for programs to meet the needs of all young children in the state.

Structures To Be Considered

Alternative 1:

Establish a division of early childhood development within an existing state agency, such as the state department of education or health and welfare. If such a division were established in the department of education, for example, it would be responsible for the development and administration of programs for children through the age of 5. At present, state departments of education generally are comprised of separate divisions, headed by a deputy commissioner for elementary education (first through eighth or ninth grades) and for secondary education (the high school years). More significant and effective program development would result if current responsibilities were reorganized so that separate divisions were created for (1) early childhood programs defined as those for children through the age of 9 (third grade); (2) intermediate programs for grades 4 through 8 or 9; and (3) secondary programs for grades 9 or 10 through 12. Such a reorganization would facilitate articulation between preprimary and the first three years of formal schooling.

The early childhood development division would have responsibility for administering those programs funded by the state and for providing for coordination with other programs for children, including federal programs. For example, if the state were to provide an educational component for children in day care centers, the division of early childhood development would assume direct responsibility for the educational program and for coordinating it with other preschool programs in the state and with the public school program. Coordination with programs sponsored by businesses for their employees' children would, for example, be within the province of the division as would coordination with the regular school program.

It is important that the division be established at a level of recognized responsibility. The prevalent pattern, which delegates responsibility for early childhood planning and programming to staff members who do not have sufficient authority to act independently, to effect innovative concepts or to coordinate the innumerable programs administered by other agencies, has been generally ineffective and should not be duplicated.

Benefits and Drawbacks—Placing responsibility for early childhood programs in a newly created division of the state department of education would insure utilization of the experience of a traditional structure and would maximize the emphasis on the educational aspects of programs for very young children. Retaining responsibility for these programs within the same agency that administers elementary and secondary schools should facilitate the transition between early childhood programs including kindergarten, and the standard first, second and third grades.

At the same time, such a structure might make it more difficult to develop innovative kindergarten and pre-kindergarten programs. The tendency to extend current school patterns downward to younger children might well be problematic. Emphasizing the educational aspects of the program under these circumstances might also be more of a drawback than a benefit to a coordinated child care program. It would be necessary that department personnel be trained to think in terms of the total development of the child—not just the child's education. Even with such training provided, it could prove difficult to obtain the cooperation and support of other state agencies that have responsibility for meeting the numerous noneducational needs of young children and families.

If other departments such as the department of health or welfare were designated as the state agency for coordinating early childhood programs, internal reorganization such as that suggested for a department of education would be necessary to give the program a prominent place in that department. Again, however, the tendency to emphasize the programmatic concerns of the agency, to the neglect of programs and services offered outside the agency, would also have to be dealt with.

Alternative 2:

Establish an office of child development as an independent agency, or located within the governor's office, headed by an appointed director. An office of this type normally does not administer programs for children; it functions solely as a planning/coordination mechanism at the state level. Typically, an advisory council is established that is composed of the heads of the departments that are responsible for the majority of programs and services for children and families, the chairmen of the legislative education committees and representatives of private early childhood programs. A consulting committee comprised of professionals, such as pediatricians, child psychiatrists, psychologists, etc. may be appointed by the governor to advise the office on the planning and coordination of specialized programs for exceptional children.

Benefits and Drawbacks—The establishment of an office of child development located in the governor's office offers an approach that stresses overall state-level coordination as well as a heightened prestige for child and family services. The development and implementation of innovative programs and staffing patterns is enhanced by such a structure. When the office has budget oversight authority for state funds for early childhood programs (education, health, welfare, etc.), comprehensive and centralized planning and coordination are greatly enhanced.

The inherent drawback of such an arrangement is that an office of this type must attract and retain the support of the governor and the

legislature if its recommendations are to be acted upon and if its planning efforts are to be implemented. It must also enlist the cooperation and support of the major state agencies serving young children if its coordinating efforts are to succeed. As a political entity with no program responsibility, such an agency can be highly vulnerable to changes in the political climate, particularly in its first years of existence.

Alternative 3:

Establish a state child care coordinating council in the governor's office. In some states, governors have appointed councils composed of parents, representatives of public agencies concerned with child development programs (such as the board of education, the department of public welfare, etc.), and representatives of private groups. These councils normally have responsibility for planning and coordinating child development services on a statewide basis. Those members of the council who administer state programs, while retaining responsibility for their individual programs, agree to coordinate with other child-serving agencies and to allocate resources on the basis of the comprehensive state plan. Finally, the council normally has responsibility for evaluating children's services and the overall effectiveness of the state plan.

Benefits and Drawbacks—Like alternative two above, such an approach facilitates the statewide planning and coordination of children's programs and normally leads to a substantial measure of public involvement in the process. If sufficient funds are provided, competent staffing can be provided for the council permitting sophisticated planning and management techniques to be used. A unique feature of such a council is that the responsibility for developing and implementing a state plan for children rests with the members of the council rather than with the director and staff of an independent agency, e.g., office of child development. Both arrangements, however, have proven effective.

The major drawback of placing responsibility in a council structure is that its success is largely dependent on the support and commitment of the incumbent governor. Changes in administration can therefore be destabilizing—in terms of long-range planning—and may even threaten the existence of the council, its operations and staffing.

Implementation—The question of how one "gets" an interagency mechanism, such as a division of early childhood, an office for children or a coordinating council, is a tricky one. Should the effort start at the top with a statewide mechanism supported by legislation, or at the grass-roots level with informal efforts by local groups?

The answer seems to be that there is no one best way. Rather, a way must be found that takes advantage of existing attitudes, resources,

leadership potential and political realities. A formal mechanism with statewide responsibilities, supported by legislation, has the greatest potential for providing continuing and effective services to children. Initially, it is also the most difficult to obtain.

A number of states have taken the route of establishing a coordinating unit or other such interagency mechanism by executive order.⁴ This has the advantage of speed but has the potential of being abandoned by a change in administration. Other states have begun their efforts by way of simple memorandum, directive or other official sanction from the executive office or the legislature. Many efforts have begun as study or planning groups and then moved to firmer ground on the merit of their work and findings.⁵

⁴A description of state coordinating mechanisms and the legislation and executive orders that established them is included in *State Offices of Child Development: How They Work*, ECS Report No. 55 (Denver, Colo.: Education Commission of the States, 1975).

⁵Much of the information in this chapter has been adapted from *Early Childhood Development: Alternatives for Program Implementation in the States*, ECS Report No. 22, (Denver, Colo.: Education Commission of the States, 1971).

FORMULATION OF GOALS AND OBJECTIVES

Robert Mager has pointed out that "if you're not sure where you're going, you're liable to end up someplace else."⁶ In other words, any planning effort for children and their families can be effective only to the extent that the agency or organization responsible for it makes specific decisions in advance regarding what they intend to do and how they intend to go about it. Planners and administrators need to set clear and measurable objectives that will provide a framework in which planning, implementation, monitoring and assessment can take place as capacity building effort progresses.

Procedures for Establishing Priorities

Faced with the discrepancies that normally surface between available services and documented needs, capacity builders must reconcile the discrepancies that also exist between what should be done and what, given financial constraints, can be done. It is unlikely that a state will ever have sufficient resources to meet all of the needs of its children and their families. Since it will never be possible to meet all needs, decisions must be made on the comparative importance of one need with respect to another need. In other words, needs must be prioritized.

Determining what needs should be met, or met first, also means defining what needs will *not* be met, or will be met last. It is essential, therefore, that the priority-setting process be as objective as possible. Although there is no formula by which to set priorities, it is possible to proceed in a reasonable and logical manner. A number of criteria can be used:

- Number (How many children are involved?). It is sometimes suggested that priorities should consider ways to serve the largest possible number of persons.
- Intensity (How crucial is the need to the persons involved? What happens if the need is ignored?). Priorities should consider the impact of specific needs in terms of how critical that problem is to the well-being of the child and his/her family.
- Probability of Success. Priorities may also consider how likely it is that agencies or organizations can succeed in meeting the need.
- Impact on Other Needs. Priorities should consider the extent to

⁶Mager, Robert, *Preparing Instructional Objectives* (Palo Alto, Calif.: Fearon Publishers, 1962), p. ix.

which meeting one need would help or hinder in meeting other needs.

- **Logical Sequence.** Priorities should result in a logical sequence of implementation. For example, it may not be possible to do anything about a need for inoculation programs for children until a transportation problem is solved. Transportation, then, may initially be considered a higher priority.

Groups that often participate in establishing goals and objectives, as mentioned earlier, include state agency officials, advisory councils or committees, service providers, advocacy groups, elected officials and parents and citizens. Although there is no single procedure for determining priority needs, there are some "good" procedures that may be followed:

- **Consideration of the relative value of factors** such as available data, existing programs and program costs. No single factor should be the sole criterion for determining priorities.
- **Involvement of a broad base of individuals.** No one individual or small isolated group of individuals should establish priorities alone.
- **Provision of information to all involved.** The priority-setting process should encourage open and free discussion of all relevant issues.
- **Rank ordering of the importance or worth of the information presented on each relevant factor.**
- **Clear identification of the political, social and economic conditions that shape community opinion regarding the relative importance of an identified need.**

Developing Goals, Objectives, Action Steps and Activities

After the priority-setting process has been completed, there are at least four different levels of statements that can be made in response to the question, "What should my state be doing about these priority concerns?" These levels of statements are goals, objectives, action steps and activities. In general, the four levels can be viewed as a hierarchy and displayed as follows:

Hierarchy of Purpose

Goals

Objectives

Action Steps

Activities

Goals

A goal is a general description of purpose or desired outcome that can be accomplished as a result of meeting at least one, and usually a series, of objectives. Goals are projections of future change, reflecting the improved conditions for children and their families that need to be accomplished at the state level. Therefore, goals are written with a longer time frame in mind than are objectives. Goals generally look forward to an ideal state of affairs to be achieved at some time in the future, a future that is sometimes decades away.

Goals must largely be shaped by laws, policies and fiscal considerations. They may be drawn from or amended on the basis of a needs assessment, advisory council recommendations, public hearings and other forms of incoming information. The number of goals under consideration at a given time will vary, but since goals are general statements of purpose and direction, most agencies should require a relatively small number of them to state their purposes. It is likely that a planning effort based on more than six or seven goals should determine whether some "goals" might really be objectives that should be included under, or possibly be combined with, other goals. For example, a state may wish to have a goal relating to training efforts for both state and local agency staff, but might combine these into a single goal: "To provide management improvement assistance to all state and local agency staff serving children."

Objectives

An objective can be defined as a clear specific statement of a measurable and intended result that is to be accomplished within a specified time period. Objectives are a critical part of the planning and implementation of programs on behalf of children and their families. They describe an observable or measurable result that will be accomplished to help reach a goal and specify the time frame in which it will be accomplished. An appropriate objective might be: "To complete a signed cooperative agreement with the state Title XX agency by Oct. 1, 19 ____." Obviously, other objectives would need to be realized to reach the stated goal but, with the achievement of at least the first objective, one stage of meeting the goal would have been completed.

The formulation of measurable objectives through which goals may be achieved is dependent on a number of steps, including information gathering (needs assessment and service and financial resource inventories), analysis, evaluating state policies and establishing goals. Each of these steps are crucial to the capacity building process and are discussed further in other chapters.

Action Steps

Action steps are the important tasks that must be accomplished by a specific time or in a specific sequence in order to achieve an objective. An action step can also be described as a "sub-objective" in that it identifies a specific accomplishment that is to be completed as part of meeting the objective. For example, in meeting the objective stated earlier ("To complete a signed cooperative agreement with the state Title XX agency by Oct. 1, 19____"), one action step might be "To have conducted at least two meetings with key personnel from the Title XX state agency by Nov. 15, 19____."

Action steps are written using the same kind of language that is used in the writing of objectives; it generally includes a strong verb, a single purpose, a single end product and a completion date. Specifically, a statement is an action step if it describes a task that is:

- Critical to the accomplishment of the objective. In other words, if the task were not completed, the objective could not be achieved.
- Identifiable when completed. The end result of the action step should be an observable product such as a signed contract, a meeting held, a service in operation or a written report. An observable product is essential because action steps are major decision points in the monitoring process. It is therefore necessary to identify a tangible product to determine if progress is being made toward achieving the objective. For example, "to encourage an agency or organization to sign a contract," is not an appropriate action step for it would be difficult to determine if "encouragement" had been accomplished.
- Essential to the next step. This criterion follows from the fact that action steps are indeed identifiable steps rather than ongoing processes. It is quite possible, however, that two or more action steps may occur simultaneously.
- Related to a single product or result. If more than one result is specified in the same action step and at the designated completion time and only one has been accomplished, it becomes difficult to determine to what extent the step has been completed.
- Assigned to an individual for completion. Assignment of action steps to individuals is essential because it pinpoints responsibilities. Final assignments are usually made when the action steps are displayed on time tables, but the planner will need to make preliminary assignments as objectives and action steps are developed.

While the precise number of action steps is dependent upon the particular objective for which they are written, 6 to 12 will usually be required for each major objective. If only three or four action steps are written, the capacity builder may want to determine whether the identified steps are actually too complex for effective monitoring. If

so, they should be subdivided. If a larger number is justified, the capacity builder may want to consider dividing the effort into two or more objectives.

Activities

Activities are the individual steps or functions that, when completed, combine to complete an action step. They are specific assignments or work elements. Often they can be described by listing the actual daily work activities of each person involved in the completion of the action step. It is not, of course, necessary to describe every activity undertaken by every individual, but a careful listing of essential activities does make the capacity builder's task easier and more efficient.

Although the capacity builder may decide to list the activities, it often is advisable to assign this task to the individuals who have been assigned responsibility for completing the action steps. In identifying activities, the estimated time required to perform the task should also be considered. It usually is best to reserve a range of time, rather than specific dates, for the performance of activities that are dependent upon exchanges with other organizations or upon factors outside the immediate control of the planning agency.

In summary, goals reflect desired future improvements that state agencies and organizations seek to realize. Objectives indicate—in measurable terms—results to be accomplished to achieve each goal. Action steps outline—in measurable terms—the individual tasks undertaken in support of each objective. And activities describe the specific work to be done. The exhibit on page 42 provides examples of these terms.

Other Considerations

Capacity builders, of course, need to give primary consideration to the needs of children and families residing in the state when they formulate goals and objectives according to the priorities that have been established. There are, however, several other considerations that are relevant.

Given the role that the federal government plays in funding programs for children and their families, it is useful to consider the issues and problems raised by national legislation, regulations and guidelines. For example, in a program that is to be funded entirely under Title XX of the Social Security Act, it is unrealistic to write an objective that calls for serving all children in a designated area regardless of the income level of the child's family. Such an objective is impossible to achieve because of the restrictions attached to Title XX funds.

State capacity builders also need to focus on objectives that they can

GOALS, OBJECTIVES, ACTION STEPS, ACTIVITIES

TERM	DEFINITION	EXAMPLE
GOAL	A statement of purpose or intent. Goals are broad in focus and tend to have a long time frame.	Goal: To establish a comprehensive network of services that are needed by the children 0-5 years old living in the state.
OBJECTIVE	An operational, specific statement of a desired result that, when accomplished, will either meet or partially meet the goal for which it is specified. Objectives should be written in terms that specify the performance or results to be achieved within a definite time span.	Objective: To complete an individual needs profile on a random sample of children in each county by June 30, 19____.
ACTION STEP	An operational, specific statement of a proposed action that, when accomplished, will meet or partially meet an objective. These steps specify individual responsibility and assist in describing program objectives. Action steps should be stated in measurable terms.	Action Step: By Feb. 1, 19____, to have completed training of a sufficient number of volunteer outreach workers to insure the completion of at least "X" number of interviews per week. (Note: The exact number of volunteers would be determined during an earlier step.)
ACTIVITY	An interim result that can be accomplished within a short time span and that, when accomplished, should lead to the achievement of an action step. Activities should be stated in specific and, if possible, measureable terms and should always be verifiable.	Activities: (1) Define the characteristics of the necessary volunteers. (2) Identify 10 groups most likely to provide volunteers. (3) Complete telephone conversations with potential sources of volunteer assistance, explaining the purpose of the effort and requesting their assistance in recruiting volunteers.

reasonably expect to meet. When programs and objectives are designed in such a way that they seek to do the impossible, it can only cause frustration and be weakened by the knowledge of those involved that it will not succeed. All objectives need to be written in terms of what can actually be accomplished.

If, however, it is important for an objective to be realistic, it is also important that the objective be sufficiently challenging to require "stretching" to attain it. An objective should reflect the greatest possible change or impact that can be made within the limits of existing and potential resources.

NEEDS ASSESSMENT

Because of pressures to initiate or expand services for children, states have been forced to make difficult decisions about public priorities. In order to make defensible decisions, individual decision makers must have an adequate and reliable information base. Rational allocations of resources to prevent gaps and wasteful duplication of services requires an assessment of the amount and kinds of services required by children and families. There is general agreement that competent planning and determination of priorities should be based upon a careful assessment of states' present and future needs for early childhood and family services; there is less agreement about how best to define and assess needs.

Needs assessment data can be used (1) to provide information on the needs and characteristics of children (e.g., total numbers and percentages of children with specific needs and problems and characteristics of needy children) and (2) to provide information for use in the planning and operation of a program designed to meet those needs.

If a state has limited objectives in the early childhood field, adequate funds to meet its priorities, and some evidence that those objectives, funding levels and priorities will not change, it could conceivably do without a statewide needs assessment. Increasingly, however, states are subject to a growing demand for child care and to new federal funding and related planning requirements for child care programs, e.g., Title XX. Thus, there seems to be growing emphasis on periodic needs assessment efforts that are comprehensive in scope.

Assigning Responsibility for the Needs Assessment

An essential first step to a successful needs assessment is designating a group or agency to be responsible for initiating and implementing the data gathering process. Many needs assessment efforts undertaken in the past, have not had maximum impact because of their piecemeal approach by a variety of agencies without a clear planning mandate.

The choice of who should shepherd the needs assessment activity will vary from state to state. Some states already have a logical structure, such as an interagency coordinating body, that has been assigned a needs assessment and planning function. The state planning agency might also be appropriate for the assignment of data gathering responsibility. An existing agency, already concerned about children and perhaps having bits and pieces of information about their needs, might also be an appropriate agency to conduct a needs assessment.

Appointment by the governor of a funded study commission, or the

hiring of a private firm to assess state needs and to develop a plan for meeting them might also be desirable alternatives in some situations. A funded study commission has the advantage of involving influential individuals within the state who might then be interested in helping to implement needed programs. At the same time, however, it is sometimes difficult for such individuals, who often have other extensive demands upon their time, to devote the attention and to provide the guidance necessary to develop a competent plan.

There are an increasing number of organizations and individuals available to provide competent planning assistance at a reasonable cost. Some of them are identified in the *Early Childhood Consultant Directory* prepared by the Education Commission of the States.⁷

First Steps

Several steps should be taken at the outset:

- Adequate funding should be provided for securing staff so that other agencies and organizations will not feel that their resources are being siphoned off. Funding levels do not need to be extravagant if the assessment makes careful use of existing information and if the many volunteer and other groups in the state are encouraged to participate.
- The charge to the designated agency should be specific and a time limit set for completion. The agency might be asked, for example, to (a) review what has been done in early childhood development, (b) establish the need for services, (c) gather data concerning a specific age group of children from, for example, birth to 5, (d) differentiate need by location, (e) establish criteria for defining greatest need, (f) present data geographically by various criteria. One year of effort should be sufficient to complete the process *but continuous review and updating will be necessary.*
- Efforts should be made from the beginning to stimulate public awareness and participation in the needs assessment so that it does reflect consumer needs and so that the plan, as it is being implemented, is capable of attracting public support. A logical first step is the appointment of advisory councils at all levels to assist in data collection and planning, and to insure that individuals with differing interests are involved from the beginning. In some states such advisory groups exist in the form of councils that have been established by legislation to participate in the needs assessment/planning process. Planning councils that are in place as a result of federal funding requirements may also be utilized. The Appalachian Regional Commission, for example, requires states to utilize existing local and state councils that include parent representatives to assist in program development.

⁷*Early Childhood Consultant Directory*, Report No. 96 (Denver, Colo.: Education Commission of the States, 1977).

Public Relations

Whatever agency or group is assigned responsibility for planning should also be charged with responsibility for informing the public about all phases of its activity. It might appear that staff time devoted to such a public information effort diverts attention from the data gathering effort, but the long-range benefits of enhancing public awareness and acceptance cannot be underestimated.

The appointment of advisory council members, the locations and topics of their meetings, highlights of their discussions—as well as human interest stories about how children develop and special need cases—could all be subjects of news releases and briefings which might be released through the governor's office. The initiation of the needs assessment effort might be announced by the governor. It is also helpful if members of the legislature are invited to state or local advisory council meetings or to special briefings on the purposes and progress of the assessment.

Data Gathering

Alternative data collection models with suggestions about the implications of their uses are available from states that have completed early childhood needs assessments. *The Children's Needs Assessment Handbook*, published by the Education Commission of the States in May 1976, reviews the models used in three states—Idaho, North Carolina and Texas.⁶ These are indicative of the variety of approaches and techniques available for state consideration.

The type of data to be collected and the choice of a data collection method should be based on the purposes for which the information is being collected and the money available to do the job. Unfortunately, it is always necessary to make some trade offs between cost and accuracy/comprehensiveness/specificity.

Before initiating the data collection effort, two activities to increase the effectiveness of data collection activities should be undertaken. First, there should be a carefully conceived and executed effort to coordinate the myriad of state-sponsored data collection activities. In almost every state many agencies send surveys to or interview the same sources for similar, if not identical, information. Some staff members spend a good percentage of their time simply responding to questionnaires. Data collection efforts, then, should be coordinated through the governor's office or a state census or planning office to the maximum extent possible.

Second, the later development and implementation of a generalized data management system, as a time-and-labor-saving device, should

⁶*The Children's Needs Assessment Handbook*, Report No. 56 (Denver, Colo.: Education Commission of the States, 1976).

receive careful, early consideration. It is a worthwhile initial investment to investigate the state's computer resources (state government, major industries and universities are logical possibilities) and to seek advice on the selection of a data management system since there are pretested appropriate systems available through a number of sources. Although many piecemeal information collection efforts, as well as some statewide efforts, have recently been compiled manually, there is little reason to limit future efforts to laborious manual calculations. If, for any reason, a data collection effort must start manually, it should be planned so that it can be computerized when facilities become available or before information becomes too cumbersome. It is a relatively simple matter to write questionnaires, for example, so that responses can be fed into and tallied by computer. Without this foresight, responses must be hand counted and individually interpreted, whether or not computer facilities are available. An indepth discussion of management information systems and the system developed by the West Virginia Interagency Council for Child Development Services appears in Appendix B.

In the absence of tested data-collection models, each state will have to make its own decisions about what information is relevant and worth the cost of collection and what is not. It would be fortuitous if planners could determine which variables appropriately establish the existence and urgency of need and which are dependent, simply reflecting the situation already suggested by the independent variables. If it is determined, for example, that the rate of juvenile delinquency parallels the density of low-income families, then it would be logical to collect one set of indicators, but not both. At this point, however, it is not possible to determine for the early childhood field which variables are independent and which are dependent.

A number of data collection methods and information sources can be used to assess children's needs.

Consumer Survey

The consumer survey normally provides data about the characteristics of children in the state, area or locality by studying a sample drawn from that population. The population to be studied must be defined (e.g., all children 0 to 6, all children under 13 who are members of poverty-level families, etc.) before the sample can be selected. Sample selection can be accomplished in several ways, but to be representative of the population, the individuals must be randomly selected. Using the survey approach to assess children's needs can involve testing of the children in their homes, or collecting data directly from parents. The individuals selected for testing or interviewing can be contacted in person, by mail or by telephone.

The construction of the interview instrument (questionnaire or test) is one of the primary tasks to be undertaken early in the needs assess-

ment process. It usually requires several drafts and should be pre-tested on a small representative sample of the population. The pre-testing will insure that the interview instrument is understandable, does not take too long and produces the desired data.

The steps outlined above constitute the first major part of a consumer survey. Data collection is the second large part. Interviewers must be oriented, trained and sent into the field. Their work should be verified to insure that the interviews were properly conducted and that the questions were answered correctly. After the data are collected, the responses are coded and tabulated.

As suggested by this brief description, the consumer survey is an expensive method of identifying needs. Its major advantages are that, if properly performed, it provides the specific kinds of data desired and these data will be more accurate than data derived from secondary sources such as census data. In summary, the consumer survey's potential for providing specific and accurate information and for showing relationships between various factors make it a highly useful means of identifying needs. This potential should be balanced against the high costs involved.

Secondary Sources

The use of secondary sources, such as census data or other data generated by numerous agencies of the federal government, is generally a relatively inexpensive way of gathering data for a needs assessment. Usually, only one or two researchers are required when secondary sources are used.

Expenses will, however, increase when computerized analysis of the data is required. Unfortunately, many federal sources do not provide information by state (with the exception of census data), although breakdowns by region and by categories such as rural/urban populations may be available. In many cases, only gross needs and problems of general populations are defined and, because of the need to extrapolate to specific local situations, inaccurate conclusions may be drawn. Finally, many secondary federal sources, especially census data (which were last collected in 1969) are outdated almost before they become available.

At the state and local level, secondary sources include statistics and records collected by public agencies, research findings, newspaper articles or any other type of data that are specific to a state, area or locality (e.g., birth statistics, number of children enrolled in kindergarten during a given year, etc.). In many instances, information collected for special reports by public or private organizations or by university researchers are directly related to data needs of state planners. The sources can generally be obtained through library research, and students often can be used to do much of the work

inexpensively. However, the areas covered are often limited and data may be limited to particular localities or specific situations. In general, the use of secondary sources requires considerable care. The data may be inaccurate, incomplete or out of date. Inaccurate conclusions may be drawn because of the need to extrapolate from limited data.

Advisory and Special Interest Groups

Advisory and special interest groups can and do provide objective information on children's needs. The usefulness of advisory groups in identifying needs is largely dependent on the capabilities and functions of the group. It is often the case that advisory groups provide useful information about some of the concerns of their constituencies and they can also assist in anticipating questions that may arise in a public hearing. The viewpoints of individual members, however, should not be considered as the totality of the views and aspirations of their constituencies. The usefulness of the data obtained from special interest groups depends upon the purposes for which that information was developed and upon the capabilities of those presenting the information. However, since these groups do represent "special interests," their views may be limited in coverage and objectivity. Moreover, groups representing different interests may present contradictory information and may not provide information about the children and families they do not represent.

SERVICE RESOURCE INVENTORY

A service resource inventory is a comprehensive listing of the service resources available to serve children in a community. Conducting these inventories is an important initial task that supports integrated, comprehensive planning because these inventories may be used to identify service providers to be included in the joint planning process. More important, the information is one of the key components of a comprehensive information and referral service system.

At a minimum, a service resource inventory usually lists the public and private agencies serving children in the state, the services provided, information on how to obtain the services and the eligibility requirements associated with them.

To be useful to the capacity builder, a service resource inventory should have the following characteristics:

- Be complete, including information on all community resources for children.
- Be standardized, containing the same information on all agencies.
- Be updated regularly. If the information is kept in a loose-leaf form, it is easy to update.
- Be organized according to service categories and geographic areas.

The service resource inventory should also be summarized and distributed for use by service providers, outreach workers and information and referral personnel.

The information collected to develop the service resource inventory can be stored with needs assessment data either on the same or a compatible storage and retrieval system in order to facilitate comparisons and identify gaps and overlaps in services.

A state plan for integrated service programs for children will rarely have to "start from scratch" in developing a service resource inventory. More than likely, there are several partially complete inventories already compiled by government and private agencies across the state. These inventories can provide—at the least—a partial list of agencies serving children, which should be included in the inventory.

Uses of Service Resource Inventories

A service resource inventory provides valuable information for at least three groups: service agencies, parents and other citizens, and

state and local planners. Service providers can use the inventories to familiarize themselves with services offered by other agencies; to refer clients to appropriate agencies; and to review information on procedures used by other agencies. Parents and other citizens can use them to learn more about available services and how to obtain these services.

Planners at the state and local levels use these inventories to:

- Obtain an overview of services available in a community.
- As supportive data for outreach and referral services.
- To identify gaps and overlaps in the service delivery system.
- As information for planning service improvements and selecting service sites.
- To develop service relationships and coordinating mechanisms.
- To compile agency profiles.
- As baseline data for the analysis of service performance.
- To determine areas where services need to be supplied through purchase of service contracts.

Categories of Factual Information

The questionnaire used to collect resource inventory data may be designed to collect as much information as the capacity builder thinks is both important and useful and believes that service providers will be capable of and willing to provide. Two categories of information should be considered: (1) basic and generally necessary information and (2) useful but not easily acquired information.

Basic Information

Much of the basic information for a service resource inventory may be part of public record because service agencies are required to submit annual reports. It is wise, before designing a survey questionnaire for a service inventory, to compare reporting requirements across agencies to determine the degree to which reporting measurements have been standardized.

The following categories of information are generally considered to be essential to a service resource inventory: name of agency; address; phone number; director's name; working or service hours; detailed descriptions of services offered (since similar services may be called by different names); funding level and funding provisions; eligibility requirements for each service; fee policies and other requirements

such as liens, pledges, compulsory attendance or membership; number of children being served; geographic area and target population(s) served; and name of sponsoring regional, state or national organization.

Other Information

Other information that might be useful to state planning efforts might include the following: goals and objectives of the agency; organizational structure (the major organizational units of the agency and their principal responsibilities); any advisory group or policy-making board associated with the agency (its composition, purposes, meetings, etc.); paid professional and paraprofessional staff of the agency—its size, characteristics, training, duties and responsibilities; volunteer staff; availability of services offered and accessibility by public transportation sources; caseload characteristics by service; purchase-of-service arrangements with other agencies; transportation services offered by the agency to its clients; outreach activities of the agency; referral procedures for clients whose needs cannot be met by the agency; other agencies with which the agency has coordinative or cooperative linkages and the nature of these linkages; and future plans.

Information Gathering Techniques for Resource Inventories

The usual way of collecting resource inventory data is through the use of a survey questionnaire. Whether the questionnaire is mailed to agencies or administered by telephone or personal interview depends on a number of factors such as the desired return rate, available funds and the time available for obtaining information. However, regardless of how data is collected, a number of suggestions can be made to facilitate the effort:

- Develop a questionnaire to allow for standardization of data across agencies as much as possible.
- If the questionnaire is to be mailed, advance notices of the pending questionnaire should be provided; then, after its delivery, necessary follow-up steps should be taken to see that it is completed and returned.
- Cooperation can be enhanced by reminding each participating agency that the completed resource inventory will permit a greatly improved referral system, a better match between eligible clients and available services, and greater efficiency throughout the system.

Updating Resource Inventories—Earlier it was suggested that the resource inventory be kept in a loose-leaf notebook to make updating the document easier. Periodic formal updating—perhaps on an annual basis—makes it possible to reflect changes and to maintain an efficient information and referral system.

FINANCIAL RESOURCE INVENTORY

Planning for children's services forces the capacity builder to face the harsh reality of insufficient funds. To compensate, it is necessary to expend considerable time and energy in planning for maximum use of all existing resources and identifying possible new sources of revenue.

A necessary prerequisite to planning for maximum use of existing resources is an accurate accounting of what is being spent and for what purposes. This is a difficult task because there is little compatibility among agencies in the reporting of information on expenditures for children's services. Further, there is often a reluctance on the part of agencies to furnish such information. However, if existing resources are to be used wisely, and if duplication and gaps in services are to be eliminated, this information must be compiled as accurately as possible. It is difficult to justify a request for additional funds if one cannot supply information on current expenditures.

The second major justification for a financial resource inventory is the need of the capacity builder to have a listing of possible sources of additional revenue. Ideally every capacity builder should be a first-class grantsman. However, with the day-to-day pressures of managing programs, compounded by an ever-changing funding situation, such an objective is next to impossible to accomplish. It is suggested that one individual be assigned responsibility for identifying funding resources for children's services and for updating, at least on an annual basis, a listing of all known sources.

The purpose of this chapter is to review some sources available to fund services for children and their families. This is only a partial review because funding sources are described only in a very general way and only representative funding sources are identified at the state and local levels. Because of the variability in funding arrangements from state to state, it is impractical to present a comprehensive review of them in this manual, and even if it were prepared, it would be outdated before it was published. There are, however, several logical starting points that should be brought to the attention of capacity builders.

Federal Funding Sources

A valuable resource, that should be on the shelf or within easy reach of every capacity builder, is the *Catalogue of Federal Domestic Assistance*, published by the Executive Office of the President, Office of Management and Budget. This catalogue is the single, authoritative, official compendium of federal programs, services and activities. The primary purpose of the catalogue is to assist poten-

tial recipients of federal funds in identifying and obtaining federal assistance. Each federal program is described in terms of the specific type of assistance provided, the purpose for which it is available, who can apply and how to apply. Information is organized by a subject index including such headings as "Child Health," "Child Welfare" and "Education, Early Childhood."

State and Local Governmental Sources

While the major source of state funding is in legislative appropriations, numerous agencies within the state are also responsible for administering flow-through funds from the federal level. Title XX, Maternal and Child Health, USDA, Women, Infants and Children (WIC), Title XIX, Early and Periodic Screening, Diagnosis and Treatment (EPSDT), Child Abuse and Neglect, and numerous other special program monies are resources that are available through state agencies.

Local governmental units such as counties and regional planning groups are also possible funding sources for children's services. Both federal and local monies are managed by them and they are potential sources of support.

Private Foundations

A number of foundations provide money for children's projects and programs. Sometimes these grants support general operating expenses, but more frequently they provide support for some specific undertaking. Of the total number of foundations, only a few are truly national in scope—most are oriented toward serving a particular locale or region of the country.

Additional information about foundations serving a particular location or providing particular types of grants is available from the Foundation Center, a private, nonprofit organization dedicated to collecting and disseminating factual information on philanthropic foundations. The center maintains national reference collections in New York, Washington and Chicago and supplements these centers with 52 regional cooperating collections. In addition to publishing the *Foundation Directory*, *The Foundation Grants Index* and other publications, the center provides telephone and mail reference services and conducts computer searches. The Foundation Center is located at 888 Seventh Ave., New York, N.Y. 10019, telephone (212) 489-8610.

A list of foundations, organized by state, with outstanding grants totalling \$50,000 or more in the child welfare field is presented in Appendix C.

Local Nonprofit Funding Sources

In addition to foundations, there are a number of charitable or social service agencies that support services and programs directed to children and their families. Some of these organizations are solely local, while others are national organizations, associations or federations that have local branches or chapters.

The easiest and most direct way to determine what kinds of organizations and programs are ongoing in a particular state is to consult the yellow pages of the telephone directory under the headings of charitable organizations or social service agencies. City or county governmental agencies associated with human welfare services also should be able to provide information on those organizations that may be receiving some local government financial support. In addition, local health system agencies can provide information about health facilities and, to some extent, programs and projects at the local level. State health councils can provide the same information at the state level.

EVALUATION

The past decade has witnessed a growing emphasis on using behavioral science concepts and methods for meeting social problems. During the 1960s and 1970s numerous social service programs have been developed that are designed to change people's knowledge, attitudes, values, behavior and institutions. After these programs had been in operation for several years, citizens, politicians and administrators began to question their effectiveness. Decision makers needed to know: How well is the program meeting the purposes for which it was established? Should it be continued, expanded, cut back, changed or abandoned? The staff who operate the programs tend toward optimism and in any case have a stake in reporting success. Since many programs provide a variety of services and deal with large numbers of participants, a handful of consumer testimonials or a quick tour of inspection can hardly gauge their effectiveness.

Evaluation is a process undertaken to judge the worth of something in terms of success or failure in achieving or contributing to the realization of specific objectives and goals. This judgment is based upon relevant information gathered by the monitoring system, assessment techniques (such as client effect surveys, service utilization studies, service agency capability and performance studies), and cost-efficiency analyses. While success is operationally defined as meeting or achieving a specific objective or goal, the final decision about continuation, expansion, reduction or termination of an ongoing activity, service or program involves other elements such as priority level, availability of funds, reduction of need and the special interests of constituency groups. Capacity builders need to weigh all available evidence including staff reports and evaluations as well as statistical reports and the accomplishment of relevant objectives and goals.

The relationship between evaluation and monitoring needs to be clarified so that the conducting of one does not lead to the neglect of the other. Monitoring uses the output of the state's information system to provide an ongoing performance record. It tells the capacity builder whether the actual performance of a particular activity, service or program is meeting the expected or estimated performance.

Evaluation—unlike monitoring—requires a judgment about the actual performance, based on summaries of data collected during monitoring and other data collected specifically for evaluation purposes. While monitoring is a continuous process, evaluation is conducted periodically, usually at the end of a program milestone or at the end of the fiscal year. Periodic evaluation permits midcourse corrections and helps to avoid continued misdirection when such

misdirection takes place. Evaluation should be conducted when monitoring reports indicate a widening gap between planned and actual performance.

Basically, evaluation seeks to answer the following questions:

- What was done?
- What happened as a result of the effort?
- Do the actual results match the intended results?
- If actual results do not match the intended results, what are the explanations?
- Are the actual results satisfactory?
- If the actual results are not satisfactory, what should be done?

The purposes of this section are to (1) describe the evaluation process, (2) identify ways of considering the data and information collected and (3) discuss the utilization of evaluation results.

The Evaluation Process

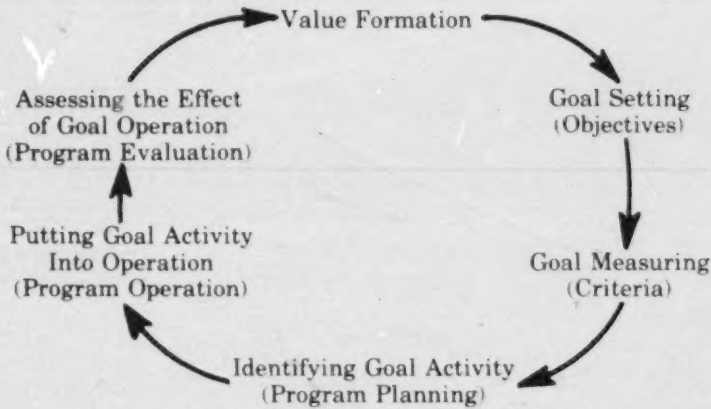
The development of children's programs, like any social program, is based on values. It is the value-laden nature of objectives that constitutes a major distinction between evaluative research and basic research aimed at hypothesis testing. A precondition to an evaluation study is the presence of some activity whose objectives are assumed to have value.

Values are the principles by which priorities are established. Clearly, value orientations are highly relevant to all children's programs. Such values, on the part of both the capacity builders and the public, do much to determine the objectives of these programs, the program operations to be established and the degree of success achieved by these programs.

It may be helpful to visualize the evaluation process as a circular one, stemming from and returning to the formation of values, as shown on the following page.

Evaluation always starts with some value; for example, it is good for children to be healthy. A goal is then formulated that is derived from this value. The selection of goals is usually preceded by, or concurrent with, value formation. An example of "goal setting" would be the statement that fewer children should suffer from physical handicaps or that not so many children should be stricken with polio.

EVALUATION SEQUENCE



Next is the determination of some way of measuring goal attainment. The nature of the evaluation will depend largely on the type of measures available. If the goal is that fewer children should suffer from polio, then some means of counting how many are afflicted with the disease is needed. This step is followed by the identification of some kind of goal-attaining activity. In this case, for example, an inoculation program for polio aimed at early prevention might be considered. Then the goal-attaining activity is put into operation—clinics are opened, and parents are encouraged to bring in their children.

At some point, an assessment is made of this goal-directed operation including an evaluation of the degree to which the operating program has achieved the predetermined objectives (i.e., how many cases of polio are reported following the inoculation program.) Finally, on the basis of the assessment, a judgment is made as to whether the goal-directed activity was worthwhile, which is a value formation. At the end of the evaluation process either a new value is identified, or the old one is reaffirmed or redefined.

Evaluation Components

To evaluate a service or program designed to serve children and their families, there are basically six kinds of information gathering the capacity builder can undertake:

- Monitoring.
- Service Utilization.
- Client Effects.
- Cost Efficiency.
- Service Agency Capability and Performance.
- Overall Analysis.

The monitoring, service utilization, service agency capability and performance and client effects studies examine different phases of a service, while the cost-efficiency analysis and the analysis by staff and others provide an overview of the services in the program and the implementation of the state plan. All of these studies should lend themselves to the evaluation by asking: "Has the service or program been successful in achieving its relevant objective(s) and goal(s)?"

Monitoring

The purpose of the monitoring system (which is briefly discussed on page 26) is to provide a continuous accounting of activities required by service providers. The data collected by this system is then compared to expected performance levels and to the measurable objectives and goals established for the service or program.

Summaries of the monitoring data should be used in evaluating the actual performance of a service, a contractor or an entire program encompassed by the state plan. A monitoring system uniquely contributes to the evaluation process by producing a continuous flow of information that can be summarized at any given time.

Unlike other studies, the data collected by a monitoring system may trigger the evaluation process. For example, monitoring data may indicate that a human service information and referral service is not assisting as many families with young children as was anticipated. Although overall evaluation of the service may not have been scheduled until the 10th or 11th month of the fiscal year, some type of evaluation may be warranted sooner. The type of adjustments needed would depend on the findings of the evaluation process. What is important to note is that the monitoring system has a dual role. On the one hand it indicates the existence of a problem and the need for evaluation and, on the other hand, the summaries of the monitoring data can be used in the evaluation process.

Service Utilization

The primary purpose of service utilization studies is to determine why a service is being used or not used. The *amount* of usage of a service can easily be found by checking the monitoring data, but monitoring data is not likely to reveal the following:

- Patterns of use of a service by children and their families.
- Characteristics of the service that encourage or discourage usage.
- Consumers' judgments of the quality of the service.
- Extent to which the service meets the needs of the consumer.

Collection of the above information can be done through surveying

past and present consumers or through personal interviews with them.

Judgments about the quality of the service being delivered may be related to characteristics that encourage or discourage use. Consumers may rate the quality of the delivery as very good or excellent, but may believe that improvements should be made in certain areas (such as the location of the site, the amount of fees, etc.). Therefore, it is useful to ask consumers first to rate the quality of the service and then to describe factors that encourage or discourage further use of the service. It is also useful to ask parents to comment on the extent to which the services they use meet the needs of their children and why unused services for which they are eligible are not being used.

Client Effects

The purpose of client effects studies is to determine the types and extent of impact that services have had on consumers. Far too frequently the actual effect of an activity is not the same as the intended effect. Sometimes there are undesirable side effects; at other times there are no identifiable effects at all. A client effects study seeks to provide an answer to the questions, "What happened as a result of providing the service?" and "Did it work as intended?"

It should be noted that the "client" in the case of a children's service program may be a child, the child's parent or some other family member depending on the nature of the program. To assess actual impact or change, comparisons are made between (1) the activities, attitudes, feelings, unmet needs and problems that existed before the service was provided; and (2) those occurring after services were provided. For example, cognitive development or affective behavior may be altered by providing a child care service; the incidence of handicapping diseases may be decreased by providing a special developmental program.

The results of client effects studies provide critical information for the evaluation process. If a program has no identifiable impact on the children and families being served, there may be no justification for the continuation of those services in their present form. Changes need to be made in the delivery of the services or, perhaps, one or more of them should be dropped. Competing demands for resources in a comprehensive children's program are too great to support services that may appear to be useful but, in reality, do not significantly improve the lives of children.

Cost Efficiency

The purposes of cost efficiency analyses are (1) to provide a detailed breakdown of the different costs involved in the provision of a service or in conducting a program; (2) to make comparisons of costs at

various stages of service operation such as the planning, start-up and full operation stages; (3) to provide a cost figure for individual units of service; and (4) to suggest areas where cost-reducing measures might be adopted. This information can be compared with costs for services provided by other agencies or programs, or the accumulated information can be used as a baseline for making judgments about changes in a service within a particular program.

The basic categories of information involved in the evaluation of cost efficiency are:

- The costs of the program and each of the services within the program.
 - a. Planning costs, start-up costs and fixed operation costs.
 - b. Unit costs of providing each service after the start-up period.
 - c. Costs for providing a service to each consumer annually.
- The efficiency of the service in relation to their costs.

Analysis of the above information provides answers to the following evaluation questions concerning services:

- Which services are the most cost efficient?
- What factors seem to account for some services being very cost efficient and other services being only marginally cost efficient?
- What changes occur during the transition from the start-up period to the full operations period that make a service more cost efficient?
- What changes should be made to more accurately reflect the actual costs of providing a service?
- What changes should be adopted for future service provision?

Service Agency Capability and Performance

Though an evaluation deals with the overall results of a service program for children, it cannot provide a complete analysis unless information on the characteristics of the service agencies involved is included.

Generally, an analysis of service agency capability and performance should begin with a realistic description of the agency's goals and objectives. Agency performance may be analyzed according to three dimensions. First, performance may be indicated by the extent to which the agency has met its perceived mission and its capabilities. Second, it may be indicated by the extent to which it achieves objectives set by an informal agreement or a contract. Third, performance may be indicated by the extent to which an agency has been changing its activities to bring them into concurrence with the goals and objectives of a comprehensive state plan.

Thus, while an agency may be performing satisfactorily on the first two dimensions, it may not be on the third dimension—the extent to which it has integrated its activities with other agencies involved in the implementation of a comprehensive child development program. The achievement of the latter—more properly referred to as institutional change—is a performance measure that is not likely to be achieved within a short time such as one or two years.

To develop a complete understanding of an agency's mission, its capabilities and how it views its service program in relationship to a comprehensive child development program, the following information might be collected from the agency director:

- The needs of children in the community or service area and the availability of present services to meet them.
- The appropriateness of the services offered by the agency in meeting the needs of the community's children.
- The agency's assessment of how well it is meeting its goals and objectives.
- Estimates of the time required from the initial request for service by an applicant to the actual provision of the service.
- For each service offered by the agency, estimates of how much of an increase in clientele the agency could absorb with present levels of funding, staff and facilities without substantially reducing the quality of service.
- Services not currently offered by the agency that it has the capacity to provide.
- New services and staff additions the agency plans to initiate in the next year.
- Major changes anticipated in the number of clients applying for service in the next year.
- An assessment of major reasons why persons who apply for services from the agency might not receive them (lack of staff, facilities or funds, restrictive eligibility requirements, etc.).
- Problems with facilities, service location or operation that inhibit service delivery.
- Administrative, legal or organizational constraints on the agency's ability to provide services to clients.
- Demands on the agency from other organizations to change its present services, or institute new services, and the agency's response.

- An assessment of overlapping services in the community, which need to be better coordinated or consolidated.
- Interest in providing or expanding services for children.

Analysis of performance according to the achievement of objectives can be accomplished through the monitoring process. Analysis of performance according to adoption of desired institutional changes can be accomplished by collecting information on policies and operational changes occurring within an agency and its relationships with other agencies. For example, following are some of the types of changes that may be necessary in order to develop a comprehensive child development program that involves a number of state agencies:

- Changes in eligibility requirements for clients.
- Initiation, expansion, reduction or termination of a service according to integrated services needs.
- Joint participation with other involved service providers in activities such as joint planning, information and referral, technical assistance, joint funding, joint staff training, sharing of resources and staff, and case coordination. Changes in service delivery procedures to make services more accessible, efficient and effective also indicate institutional change.

Overall Analysis

The final study component in the evaluation process is an analysis by staff and others of the information collected. This may be done by contracting the services of a consultant or having experts in the community or advisory council members serve on evaluation teams. The advantages of using outside authorities in the evaluation process include the following:

- They contribute additional expertise that may not be available among state agency staff members or advisory council members.
- They are not directly involved in the operation of the service or program and thus may be more objective in their judgments and more incisive in their observations.
- They may be less expensive than maintaining resources within the agency for hiring evaluation specialists or authorities on certain services.
- They may serve as a buffer against critics who accuse staff members or advisory council members of being biased.

The decision to use outside authorities may be determined by the

amount of funds available, the availability and accessibility of individuals who are experts in evaluation procedures and techniques and the complexity of the evaluation (i.e., whether it is an evaluation of a single service or of the entire integrated service program).

PART III:
NOTES TO THE TECHNICAL
ASSISTANCE CONSULTANT

INTRODUCTION

This manual is written for individuals working at the state level who are charged with planning, managing and implementing innovative delivery systems for children's services. However, it is also designed as a guide to consultants who may be providing technical assistance to states. Thus, this last section focuses on how consultants can work effectively with state capacity builders to improve the delivery systems for children's services.

Four questions are addressed in this part:

- What is the role of the technical assistance consultant?
- What is the role of the capacity builder? How can the consultant motivate the capacity builder to fulfill his/her role?
- What are the phases in assisting the capacity building effort?
- What should be documented by the consultant?

THE CONSULTANT'S ROLE

In order to assist in building capacity, an outside consultant must provide not only expertise but must also convey an attitude that will enable him/her to work successfully with those involved. In fact, the success of many consulting engagements will depend as much upon the relationship between the capacity builder and the consultant as it does upon the technical knowledge of the consultant. Consultants may not be openly credited for their contributions and in many cases such open recognition could easily have a negative impact on the changes the consultant is proposing. It is often more appropriate for him/her to adopt a low profile. On the other hand, the consultant may be called upon to assume a highly visible position in a controversial situation. Consultants should recognize that, in being helpful to capacity builders and fulfilling their expectations, they may at times feel unpopular to a larger audience. It is important, therefore, that trust and open communication exist between the capacity builder and the consultant.

Consultants are problem oriented; they act as problem identifiers, problem analysts and problem solvers. Frequently, however, a successful solution means that the consultant must transfer his/her problem-oriented approach and problem-solving talents to the capacity builder. Transferring and developing in others an ability to inquire, analyze and synthesize is a critical talent in the consultant's repertoire. When the job is done, the people left behind need to be equipped to be the identifiers, analysts and solvers for future similar cases. Thus, one of the consultant's major tasks is to identify able and talented people and cultivate their skills while solving the immediate problem. The range of problems with which consultants deal fall into three broad categories: human problems, systemic problems and organizational problems.

Sometimes human problems are the real, albeit hidden, problems behind the overt technical dilemma presented to the consultant. Interorganizational rivalry, "turf guarding," lack of coordination, or resistance to change may underlie, but be obscured by, the kinds of "clear-cut" technical problems with which most consultants find it easier to deal. If the consultant is to be helpful technically, however, he/she must usually understand and resolve these human problems as well as the more straightforward technical ones. It is essential, therefore, that the consultant observe human interactions and be sensitive to their impact and implications. In addition, consensus building techniques are used by consultants to facilitate group interactions.

Systemic problems are indigenous to the situation. For example, problems may result because of insufficient funding in a state or

inadequate support from elected officials. Sometimes there is little a consultant can do to solve these problems but the ability to recognize these situational constraints is important. Knowledge of systemic problems can prevent the consultant from making impractical recommendations or setting unrealistic goals.

Organizational problems are those that result from the way the agencies involved in implementing the state plan are structured. Problems may arise in regard to the scope, type and level of responsibilities borne by these agencies. For example, in some states, the recognized lead agency in planning and coordinating children's services is limited by legislation to the supervision of day care centers. Lack of performance, poor coordination or inadequate information flow may be symptomatic of organizational problems. Consultants must be willing to accurately define and specify the problem and work cooperatively and imaginatively with capacity builders to introduce acceptable modifications or alternatives to the existing organizational structure.

THE STATE CAPACITY BUILDER'S ROLE

The responsibilities of the state capacity builder and those of the consultant will vary from situation to situation. Typically the initial activity of the consulting engagement is the determination and division of responsibilities between state capacity builders and the consultant. The process is repeated and modified as the engagement progresses. Usually, the consultant will want to have someone in the state perform "ice-breaking" and preparatory functions such as:

- Providing current and historical data pertinent to the effort.
- Introducing the consultant to other individuals with whom he/she will work.
- Explaining his/her role and "clearing the path" for him/her to work with other individuals.
- Providing the consultant with the support services and equipment necessary to perform his/her work.

During the initial period, the consultant and capacity builder may wish to discuss not only the division of functional responsibilities but also appropriate roles for each to take in various situations. For example, should the consultant work only through one person as a technical adviser, or should he/she interact with a group of individuals? Should the consultant assume a leadership role at meetings, or should his/her position be that of a background adviser? Both the capacity builder and the consultant should make recommendations regarding appropriate role assignments, including those that will determine their respective relationships to other participants in the capacity building process. Generally, both state capacity builders and consultants find it helpful to discuss these roles explicitly before they become locked into a position that proves to be uncomfortable.

Of more obvious importance is a discussion of the division of responsibilities. Goal-setting sessions, project planning and the preparing of timetables and budgets require that all parties understand clearly and specifically who will do what. Consultants should be aware that the division of functional responsibilities may be intertwined at times with role assignments and with human factors within the capacity building network. For example, the need for the participation of capacity builders in a certain endeavor may outweigh the advantage and convenience, or even greater expertise, of assigning full responsibility to the consultant.

Sometimes consultants are perplexed as to how to obtain the capacity builders' participation or cooperation in the actual work. Of course at

times it is appropriate or necessary for the consultant to work autonomously, but frequently a joint effort is necessary if he/she is to have an impact in terms of improving the internal capacities of the state. Motivating others, as an outsider, is a key responsibility of a consultant—and also a very delicate one.

One way of motivating people is to enlist their participation in the decision-making process. This provides them with a shared responsibility for carrying out the decision. If a consultant undertakes this participatory strategy, however, he/she should be prepared to accept the results in terms of modifications to his/her recommendations. Going through the motions of eliciting participation without actually incorporating it, generally, fools nobody and frequently alienates some.

Sometimes, participants do not provide sound ideas and the consultant is faced with the problem of stimulating them to break an "idea barrier." It may be helpful for the consultant to schedule two "think" sessions. At the first, the situation or problem is described to the participants and the need for their input is communicated. Participants are then informed of the second session during which their individual ideas will be solicited and discussed. Such a strategy allows time for participants to fully develop sound ideas and to modify or discard those that are impractical.

Finally, optimism regarding the interests and capabilities of those involved in the capacity building effort pays off. Since part of the consultant's task is to transfer knowledge and problem-solving ability, he/she should convey confidence and enthusiasm for that aspect of his/her responsibilities.

PHASES OF ASSISTANCE

The technical assistance consultant is a team member; the other members of this team are the capacity builders with whom he/she works. The consultant is there to assist, but it is important to remember that help is only help when it is perceived as such.

The consultant's assignment is to assist in building the capacity of the state to better deliver services to young children and their families. Changes will be required in procedures and organizational patterns and it is important to remember that any change is threatening; particularly when it is suggested by an "outsider." Working with state capacity builders as a team member diminishes the potential that he/she will be regarded as an "outsider." However, certain steps are suggested as the consultant proceeds from the beginning phase, to the problem-solving phase, to the time when he/she will have provided sufficient assistance to disengage him/herself from the effort.

The Beginning Phase

The consultant should expect resistance to change and encourage capacity builders to express their viewpoints and to participate actively in all decisions. An important point in developing a change structure is to look at a change as if for the first time. From this vantage point, the essence of the proposed change should be put on paper in a single sentence or a short paragraph. If the overall change cannot be expressed succinctly, it has not been thought through. In that event, it can be developed further by asking: Why is it necessary? Who will it affect? Who will implement it? What are its benefits? What are its negative features? Do the negative features outweigh the advantages? Who will be the strongest supporters/opponents and why?

The following suggestions need to be considered by the consultant:

- Avoid a sense of secrecy. Communicate with capacity builders at every critical decision point and conduct frequent discussions about mutual expectations.
- Very early in the visit determine what capacity builders need and expect. Set goals with them and check progress frequently.
- Determine the appropriate protocol governing meetings, reporting, etc., and follow it.
- Listen to capacity builders with a diagnostic ear and with empathy.

- Agree on the definition of key terms so that the consultant and the capacity builders are both "speaking the same language."
- Maintain a spirit of experimentation and exploration, with a commitment to following through on initial plans.
- Be sensitive to timing considerations. Ask questions, offer information, and make suggestions when capacity builders seem ready to listen and respond.

The first phase in encouraging change entails fact gathering and analysis and the development of a specific plan of action. There is no substitute for hard work, but the art of capacity building includes knowing what to ask, where to go for information and how to develop planning activity around incoming information.

The Problem-Solving Phase

As the consultant engages in the activities agreed upon, he/she should continue to listen to capacity builders and to check his/her perceptions at frequent intervals of what is being said. A working definition of the problem may emerge that is different from the one initially stated. The consultant should be flexible and willing to change when necessary.

During this phase, an analysis of the facts gathered earlier begins. In conducting the problem analysis, the consultant should explore different courses of action. He/she should continue to collect data for future steps and to work out implementation roles for him/herself and the capacity builders.

During the testing and action period the consultant should temporarily withdraw from the situation, and the capacity builders should accept responsibility for overseeing activities. During the assessment and replanning period he/she should return to center stage.

Some consultants proceed through the analysis phase only to stop short of the most important ingredient—a strategy to get their changes accepted. The best strategy, once the facts are gathered and analyzed, is to develop several tentative, alternative solutions—describing the advantages and disadvantages of each. The important point to remember is to develop a variety of change ideas, but not to insist on any one of them.

The Disengaging Phase

Before disengaging from the capacity building effort, the consultant should review with the capacity builders the need for change and the readiness of the state to change. Every state will have a certain propensity for change. He/she should consider such things as the

state's recent change history, the resources available to support change (e.g., financial resources, technological sophistication, etc.) and the relative conservative/liberal environment within the state.

A realistic scope and timetable should be discussed with the capacity builders. The consultant will need to ask him/herself, the following kinds of questions: Is the magnitude of proposed change too great to be acceptable? Are the capacity builders sophisticated enough to make this change work? Is the timing right? Is the pace too fast? What is the tolerance for new ideas?

The pitfalls ahead, the expected sources of opposition and possible ways of preventing or dealing with opposition should be identified for the capacity builders.

Resources required for change and the role capacity builders should play throughout the transition period should be determined.

DOCUMENTATION

The consultant protects both him/herself and the capacity builders by documenting events that transpire during the period of the consulting engagement. This documentation enables both the consultant and the capacity builder to reconstruct specific actions and decisions and rationales for each. The information will be particularly useful to capacity builders and to other consultants who may wish to build upon or replicate these efforts at a later date or in another situation. The consultant's record-keeping success is dependent upon recording pertinent information and distributing records to appropriate individuals.

Examples of documentation are given below. Although expense records are not mentioned, they are always a central concern. At the initiation of the consulting engagement he/she should specifically clarify with the capacity builders any questions he/she may have regarding documentation of expenses, disallowable expenses and the procedure for the submission of expenses.

- **Trip reports.** This report should outline the purpose of the trip, individuals involved, the sequence of events, the dates and the nature of important discussions. Trip reports can be developed from a daily log of events. Copies of the report should be circulated to all of the persons involved. They provide reference material for the consultant's use during the engagement and can serve as a means of reinforcing agreements made during the course of the trip.
- **Memoranda to the files.** These reports should be prepared after each major meeting or event. The memo should outline the decisions made, activities undertaken and upcoming events. This information enables a substitute to take over responsibility for the engagement if necessary.
- **Minutes of meetings.** It is important that significant meetings be documented and the substance of discussions recorded with as much accuracy as possible. Consultants should take care to present the contributions of the capacity builders with the same clarity and thoroughness as their own. Minutes should be reviewed by the persons involved in the meeting and appropriate revisions made. The review process is important not only because it insures accuracy, but also because it reinforces consensus and tends to enhance cooperation.
- **Reference materials.** The consultant should retain copies of any reference material used in the engagement. These materials support his/her work and, like the memos to the files, enable another to follow in his/her footsteps.

- **Copies of worksheets.** If any mathematical, statistical or complex analytical work is involved in the contract, the consultant should retain legible copies of his/her worksheets. It frequently is necessary to modify or retrace mathematical calculations and worksheets can be significant time savers in this process.
- **Copies of final products.** All products resulting from the engagement, (such as state plans, needs assessment reports or resource inventories) should be retained by the consultant. With the passage of time, these products become the consultant's best record of the work that transpired during the engagement.

APPENDIXES

APPENDIX A

The Legislative Process*

Increasing the capacity of a state to manage the delivery of child and family services usually requires changes in existing laws or the introduction of new legislation. The legislative process is complex. It offers a challenge to the capacity builder that is difficult, but rewarding if successful. There is no best way to deal with legislators and no single method that guarantees success.

The material presented in this section describes steps that need to be taken in working within the legislative process and offers suggestions that should be helpful in dealing with legislators. The suggestions are based on the practical experiences of those who have been involved in the legislative process, both legislators and those who have worked with legislators.

Organizing for Action

A. Getting organized is basic; it's a prerequisite for everything that follows.

1. One person has little impact; one person who speaks for a large constituency can have considerable impact.
2. Identify organizations and individual citizens who are concerned with the needs of children and families and who are willing to work cooperatively on legislative issues.
3. Hold workshops on the political process and current political issues affecting children—statewide or, perhaps, several traveling workshops to cover the state.
4. Develop a regular means of communication. A newsletter is one good method. Let them know what others are doing, ask them for advice, exchange information on a continuing basis.

B. Develop a legislative program.

1. Set legislative and funding priorities.
2. Reach agreement with the capacity building network on a program all can support. Some compromises will need to be made. It should be obvious, however, that the more organizations and individuals involve in working toward agreed-upon goals, the better the chances of being successful.

Getting to Know the Legislature

A. Basic point to remember: To be effective, become an expert on the state legislature.

B. Elementary factors.

1. Is the political climate in the state traditionally conservative, liberal, changes taking place, or pretty much status quo?

*Special credit is given to Tommy Neal, former director of the Education Commission of the State's Early Childhood Project, whose work has served as the basis for the material presented in this appendix.

2. What are the current issues, i.e., those outside the capacity builder's special interest area?
3. What is the makeup of the legislature in terms of party divisions, i.e., number of Republicans and Democrats? Does one party have a heavy majority or a slender majority? Are both houses controlled by the same party, or is there a split?
4. Keep information on members: names, addresses, district they represent, party affiliation, committee assignments, occupation, age, length of service, etc.
5. Are house and senate basically conservative? Liberal? Middle-road? Swing? Conservative on some issues, liberal to moderate on others?
6. Is the governor likely to veto? Under what circumstances?

C. Basic information

1. Are the annual or biennial meetings, limited or unlimited sessions? What are the deadlines for bill introduction? Are bills automatically printed? Are there limitations in odd-numbered years? Are there provisions for joint sponsorship?
2. Are bills, status sheets, calendars, journals readily available?

D. Legislative procedures

1. Get a copy of the house and senate rules and become thoroughly familiar with them.
2. Learn the elements of the legislative process: assignment of bills to committee, committee meeting schedules, staff assignments to committees, committee reports (is there a rules committee or its equivalent?); floor action (when does the amendment process take place? are there second and third readings?).

E. The not-so-elementary factors.

1. Identify the "power structure." The obvious place to start is with the elected leadership, i.e., the house speaker, senate president or president pro tem, majority and minority floor leaders, assistant floor leaders or whip and caucus chairpersons.
2. Know who the committee chairpersons and vice chairpersons are. Remember that in this area some are more equal than others—most often the chairpersons of the appropriations, ways and means, finance and rules committees.
3. Other means for finding out more about the power structure of the legislature include: (1) the capacity builder's experience; (2) information from lobbyists; (3) constant reading of the newspaper in the state that has the best statehouse coverage (CAUTION: the legislator in the news most may not necessarily be the most influential); (4) by learning about the kinds of blocs that exist—urban, suburban, farmer-rancher-rural, labor? Are there coalitions among these blocs—occasionally, almost never, frequently? What is their voting strength? Is one of these blocs nearly always by itself?

Working With the Legislature

A. The legislative staff.

1. The trend is for the legislative service agency to staff standing committees. Get to know the director and staff responsible for committees in the area of early childhood, including interim committees. They can be an important source of information and the capacity builder could work toward becoming a source of information for them.
2. Other sources of staff help include, in some instances, a full-time staff for the budget function (for the legislative budget committee). House and senate staff such as the chief clerk and others, bill drafting staff and legislative interns are also possible sources of assistance and information.

B. Legislators.

1. Do not ignore the minority party; they may be the majority next time around.
2. Do your homework—that will put you ahead of 90 percent of everybody else.
3. Give members a good reason, or several good reasons, to support the goals and objectives of capacity building.
4. Maintain a low profile and ask for advice.
5. Be a competent and accurate source of objective and timely information. Remember, if you mislead a legislator one time, you have had it.
6. The capacity builder should not tie him/herself or the programs he/she espouses too closely to one personality; avoid being identified with a political party.
7. Understand that everybody isn't going to vote the way you want.
8. Disarm the opposition. A key member may not be in favor of the espoused program, but if that person is brought to the point where he/she does not *actively oppose* the bill or appropriation, a gain has been made.
9. Continuity is all important. The capacity builder needs to establish his/her identity and this cannot be accomplished if there is a constant change in the person(s) working with the legislature representing the capacity building effort.
10. As much as possible, get to know something about the basic philosophy of the individual legislators working with the capacity building effort, and then be tactful. An argumentative approach to a legislator who may already agree with the philosophy can cost support.
11. Avoid stereotyping members, especially when it is based on preconceived notions because of party or philosophical labels. All rural members are not necessarily ultraconservative; all urban members are not necessarily liberal; all Democrats are not liberals; all Republicans are not conservatives.

12. Maintain a positive attitude about legislators and politicians. This may be difficult at times, but most legislators are honest and keep their word. When one is discovered who does not have these attributes, cross him/her off the list. Their colleagues will already have discovered the same thing and they won't count for much in the legislative process. It may at times be hard to believe, but much of the legislative process is based on mutual trust and respect.
13. Don't bury every member with mountains of information about the legislation being worked for. Do provide all members with information, but succinctly—emphasizing major points and offering more detailed information to those who request it. Do provide the sponsors of the legislation with all the information that is available.

The Budgeting Process

A Basic points to remember

1. It serves no purpose to get legislation passed if no funds are appropriated to implement it.
2. No state ever has enough money to do everything everybody wants government to do.
3. Funding is an especially competitive world. Every program has to compete with every other program for the number of dollars available.
4. State legislatures have relatively little flexibility in appropriating funds. They are already locked into funding existing programs: public schools, higher education, highways, annual pay raises for state employees, medical and welfare programs and so on.
5. Even in prosperous times, there is not much *new* money available. Money for new programs—or substantial increases in existing programs—may have to come, at least partially, from other programs.

B. The executive budget.

1. This is the governor's budget. It is an inhouse process, with individual state agencies responsible for developing and defending budget requests to the governor's budget office. Final decisions are made by the governor, obviously, with much reliance on budget staff recommendations.
2. Time frame. The executive budget process normally begins 8 to 10 months ahead of the next legislative session. Input from those outside state agencies must be well in advance and through appropriate agency personnel and/or governor's budget staff.
3. The governor's budget may be drastically altered by the legislature. Even in states where this is standard practice, however, an appropriation request must be included in the governor's budget to have much chance of being granted by the legislature.

C. The legislative budget.

1. The trend is toward strengthening the legislature's role in the budgeting process through the use of full-time staff, detailed consideration of the budget requests of each state agency and the formation of joint committee with jurisdiction over the budget process.

2. The time frame varies, but in states where the legislature takes a strong role, committee hearings may begin several months before the legislature convenes. Even in smaller states it is becoming a continuing, almost year-round process.

Some Needed Intangibles

- A. **Patience.** Legislative and political work is often frustrating, especially when you *know* you have the answers to the world's problems.
- B. **Perseverance.** It is difficult to remake the world overnight; you may have to outlive everybody. But never give up.

APPENDIX B

Management Information Systems*

In spite of expanding government activities, the development of Management Information Systems (MIS) remains a relatively new science not yet mastered by decision makers. Until the advent of the electronic computer in 1945, the technology did not exist to develop more effective management information systems. Computers did not, however, provide MIS designers with a clear path. Lack of sophistication in delineating the constitution of an MIS or, for that matter, the procedures used to establish a working model of one, has proven to be the major obstacle in developing functional management information systems.

Definition of a Management Information System

An adequate MIS describes the current status and the possible future directions of programs. An MIS is *not* synonymous with a reporting system because it constitutes more than a collection of data (e.g., where, when, to whom and under what programs services were administered). The need for reporting systems for the most part, is the result of an increasing demand for information from the federal level and the lack of adequate methods for responding to the demand. The heightened interest in creating reporting systems has caused many people to confuse the capability to respond to federal reporting requirements with the development of a MIS.

Most MIS discussions address procedural and technical aspects as they relate to particular functional areas (e.g., assistance payments, child abuse, etc.) or to budgeting. Attention is also concentrated on advanced techniques for data gathering and handling related to the use of hardware and software techniques (such as computer mapping). An MIS, however, is concerned with broader issues. A functional definition of an MIS would be "the refinement of a reporting system designed to assist decision makers in formulating and executing positive alternative solutions."

Planning for a MIS

Adequate planning for a MIS includes the following steps:

- Articulation of the need for the system.
- Identification of the service population(s).
- Determination of users and users' information needs.
- Development of a programmatic and statistical inventory.
- Determination of all potential working arrangements between and among governmental and nongovernmental agencies.
- Development of a method to process information units.
- Acquisition and dissemination of data.

*Special credit is given to Gary Patterson, director of research and evaluation, Interagency Council for Child Development Services in the Office of the Governor, West Virginia, whose work has served as the basis for this appendix.

- Design of administrative requirements and structures.
- Estimation of total costs.
- Development of a work plan

If an adequate MIS is to be designed, organizational resistance must be considered and minimized to the greatest extent possible. As a first step, the capacity builder should recognize that such behavior is to be expected and that each situation will require a different resolution. Some suggestions can be offered to help reduce resistance:

- Obtain the cooperation and/or support of department heads.
- Provide effective communication between MIS designers and those involved in the organizational structure it will serve.
- Encourage participation during the early planning stages by the individuals affected in the overall design of the system.
- Provide an opportunity for individuals other than the technical staff to contribute to the design.
- Establish attainable goals for individuals participating in the system.
- Delineate the relationship between the individuals affected and the MIS, and outline the benefits to them of the system.
- Present a clear and adequate description of the purposes and characteristics of the system to all participants.
- Maintain the number of errors in the system's design at an acceptable level.
- Establish realistic goals and objectives even if the implementation phase must be extended.

A Working Model

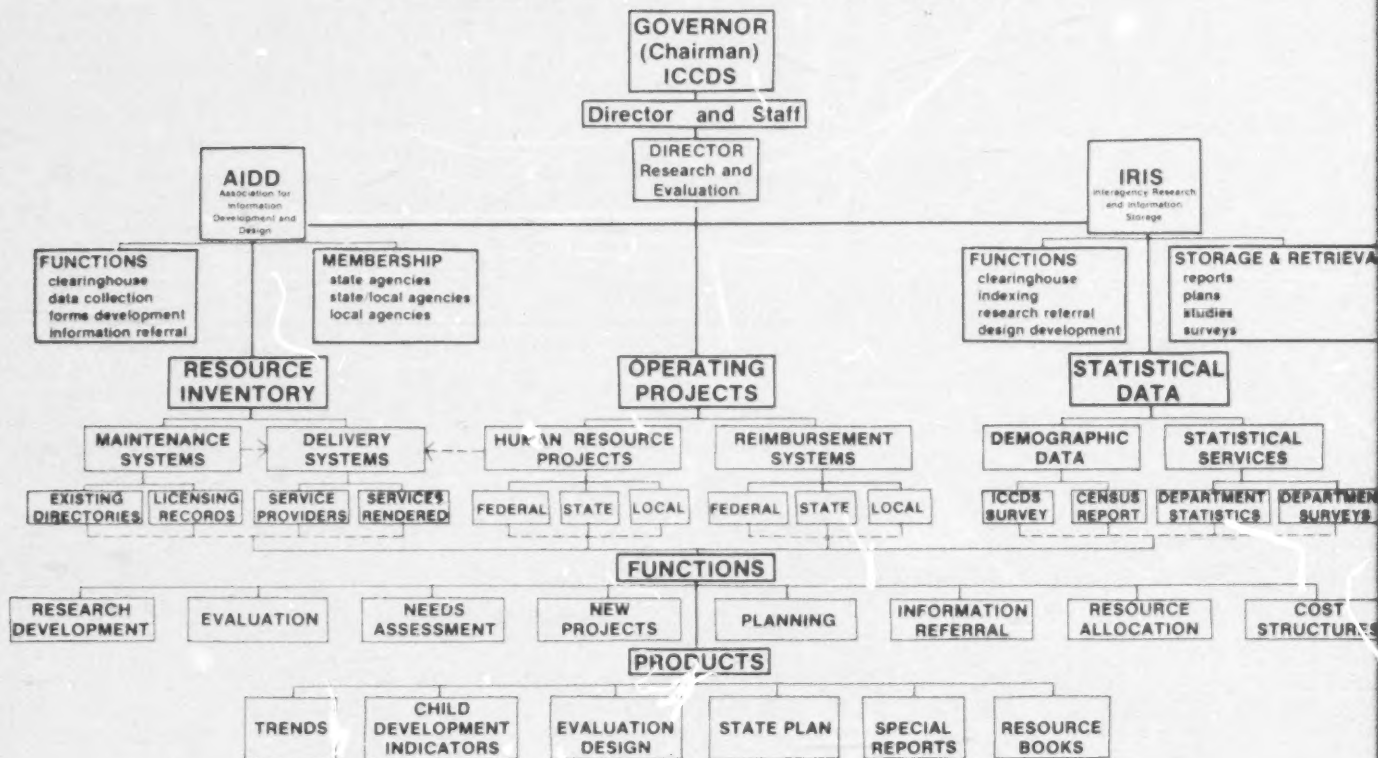
There are several steps required in the creation of a working model of an MIS, but initially, the state data processing unit's potential to generate information should be determined. A tour of data processing facilities will provide the capacity builder with an assessment of processing potential.

The next step in developing a model is to develop goals and objectives for the system and to coordinate these with current processing capabilities. By doing this, the system design will be defined with reasonable assurance that duplication across departmental lines will be eliminated.

After the goals and objectives have been defined, design procedures should be initiated. The MIS design should have the following characteristics:

- Be economical.
- Be accessible to users.
- Provide information to all management levels.
- Provide all products on a timely basis.
- Include an evaluation component.

CHILD DEVELOPMENT MANAGEMENT INFORMATION SYSTEM



- Enhance the state's data processing capacity.
- Accommodate human engineering.
- Protect confidentiality.

A system design with these characteristics should coincide with the state's potential, utilize funds efficiently and satisfy specified goals and objectives.

Preparing a Work Plan for Implementation

After the system design has been completed, a work plan defining the implementation stages should be established. Caution should be exercised to prevent setting an unreasonable timetable.

The work plan should include task descriptions and specify the staff time and resources required for each task. At this point, anticipated problems should be outlined along with solutions.

After the work plan is completed, a preliminary description of the proposed system should be circulated to those who will contribute to and benefit from the functioning MIS. This step is designed to obtain support for the MIS and the description should therefore emphasize the benefits to those involved. A public awareness effort should also be initiated to secure, to the greatest extent possible, widespread community support.

Technical Design Considerations

The technical design of the management information system should specify the following procedures:

- Standards for coding data.
- A computerized format for classifying data.
- Design of reports to be generated.
- Data collection procedures.
- Computer programs.
- Submission of test data for processing.
- Testing of computer programs.
- Information processing.
- System documentation.

This appendix provides only general guidelines and principles to be followed when developing and implementing a management information system. The following brief description of West Virginia's Child Development Management Information System provides a concrete example of a system design based on these guidelines and principles.

An Example: The West Virginia Child Development MIS

The West Virginia Interagency Council for Child Development Services (ICCDs), recognizing the need for accurate, valid data about the state's young children, is presently developing the Child Development Manage-

ment Information System (MIS). This system will have the capacity to identify, analyze and coordinate data for planning, research, evaluation, referral and resource allocation purposes. The information generated by the system will benefit not only public agencies but private nonprofit organizations working with young children and their families.

The West Virginia Child Development MIS includes an input component and an output component. The input component, Association for Information Development and Design (AIDD), is composed of representatives from various public and private agencies and serves as a planning and policy unit. AIDD members project the type of data that will be useful to their agencies and jointly plan the most efficient procedure for gathering this information.

The output component, Interagency Research and Information Storage (IRIS), indexes and stores reports, plans, studies and surveys generated by the public and private agencies belonging to AIDD. IRIS acts as a clearinghouse for all information compiled in the state on children and their families. It is also a research referral mechanism designed to help agencies and organizations locate information concerning services to children. Finally, IRIS provides technical assistance to state agencies in designing and planning studies, surveys and questionnaires. The purposes of IRIS are to increase the utilization of information collected by state agencies and to provide the state's interagency council with an accurate information base to support its activities.

The West Virginia Child Development MIS has the ability to collect information on services that cut across geographic as well as service domains. Each agency participating in the system can produce reports, booklets and directories related to their own needs. The system is designed to decrease the resources required and to increase the information available to service agencies and to others who need it. The system also provides public information brochures on reimbursement systems operating in the state such as Title XX, USDA and Medicaid. This information will be updated annually.

Departments represented on the interagency council require needs assessment data, but do not have the capability to generate these data. The needs assessment program supported by the Child Development Management Information System will be developed over a three-year period through a statewide comprehensive household survey.

It is anticipated that through a cooperative effort the West Virginia Child Development MIS will generate accurate information that is beneficial to all agencies serving children in the state. A graphic illustration depicting the organization and functions of the system is presented on page 86.

APPENDIX C

Foundations With Outstanding Grants Having Total Dollar Value in Excess of \$50,000 in Area of Children's Welfare*

Foundation Name	State	Approximate Total Dollar Value
Henry J. Kaiser	California	\$ 60,000
San Francisco Foundation	California	150,000
Ed T. Ford	Connecticut	50,000
Eugene and Agnes E. Meyer	Washington, D.C.	60,000
Southern Educational	Georgia	125,000
Lilly Endowment	Indiana	600,000
Committee of the Permanent Charity Fund	Massachusetts	50-60,000
Bush Foundation	Minnesota	100,000
Florence and John	New Jersey	150,000
Louis Calder	New York	120,000
Carnegie Corporation of New York	New York	375,000
Edna McConnell Clark	New York	430,000
Duke Endowment	New York	140,000
Field	New York	225,000
Ford Foundation	New York	120,000
Foundation for Child Development	New York	180,000
Herman Goldman	New York	165,000
Charles Hayden	New York	150,000
New Community Trust	New York	225,000
Rockefeller Brothers Fund	New York	250,000
Rockefeller Foundation	New York	50,000
Helena Rubenstein	New York	50,000
Surdana Foundation	New York	105,000
Cleveland Foundation	Ohio	115,000
Hillman Foundation	Pennsylvania	55,000
Richard King Mellon	Pennsylvania	75,000
William Penn	Pennsylvania	69,000
Philadelphia Foundation	Pennsylvania	110,000
Pittsburgh Foundation	Pennsylvania	73,000
Moody Foundation	Texas	105,000

Foundations Having a Stated Interest in Funding Children's Welfare Projects

Thomas Erler Seider	Michigan
William McDonald	New York
Helena Rubenstein	New York

*This table was prepared by Sandra L. Smith, associate with Kirschner Associates, Inc., Washington, D.C., December 1975.

EARLY CHILDHOOD PROJECT PUBLICATIONS

Early Childhood Newsletter

Published monthly: no charge

Early Childhood Development: Alternatives for Program Implementation in the States

Report No. 22, June 1971: \$2.50

Early Childhood Programs for Migrants: Alternatives for the States

Report No. 25, May 1972: \$2.50

Establishing a State Office of Early Childhood Development: Suggested Legislative Alternatives

Report No. 30, December 1972: \$2.50

Implementing Child Development Programs: Report of a National Symposium, August 1974

Report No. 58, December 1974: \$3.50

Early Childhood Programs: A State Survey 1974-75

Report No. 65, April 1975: \$2.50

Day Care Licensing Policies and Practices: A State Survey, July 1975

Report No. 72, August 1975: \$4.00

State Offices of Child Development

Report No. 55, September 1975: \$4.50

State Services in Child Development: Regional Conference Highlights/Spring 1975

Report No. 75, November 1975: \$2.50

The Role of the Family in Child Development: Implications for State Policies and Programs

Report No. 57, December 1975: \$5.00

The Children's Needs Assessment Handbook

Report No. 56, May 1976: \$4.50

Early Childhood Consultant Directory

Report No. 96, December 1976: \$4.00

An Introduction to State Capacity Building: Planning, Management and Delivery of Child and Family Services

Report No. 98, December 1976: \$5.00

Copies of the above publications may be obtained from the ECS Publications Desk. Prepayment is required.



Education Commission of the States

The Education Commission of the States is a nonprofit organization formed by interstate compact in 1966. Forty-five states, Puerto Rico and the Virgin Islands are now members. Its goal is to further a working relationship among governors, state legislators and educators for the improvement of education. This report is an outcome of one of many Commission undertakings at all levels of education. The Commission offices are located at 300 Lincoln Tower, 1860 Lincoln Street, Denver, Colorado 80295.